

## **This schedule applies to: University of Washington**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the University of Washington relating to the unique functions of the university. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

### **Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation and must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW and must be managed in accordance with the agency’s policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the University of Washington (excluding U.W. Medicine) are revoked. The University of Washington must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### **Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 4, 2014.

*Signature on File*

**For the State Auditor:**  
**Cindy Evans**

*Signature on File*

**For the Attorney General:**  
**Matt Kernutt**

*Signature on File*

**For the Office of Financial Management:**  
**Kathy Cody**

*Signature on File*

**The State Archivist:**  
**Steve Excell**

## REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	June 6, 2012	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	September 5, 2012	Minor revisions.
1.2	December 5, 2012	Minor revisions (especially to Grant and Contract Accounting, Intercollegiate Athletics, and Payroll sections).
1.3	March 6, 2013	Minor revisions.
1.4	June 5, 2013	Minor revisions.
1.5	September 4, 2013	Minor revisions.
1.6	March 5, 2014	Minor revisions.
1.7	June 4, 2014	Minor revisions.

For assistance and advice in applying this records retention schedule,  
please contact the University of Washington's Records Officer  
or Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

## GLOSSARY

### ***Appraisal***

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

### ***Archival (Appraisal Required)***

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### ***Archival (Permanent Retention)***

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

*WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.*

### ***Disposition***

Actions taken with records when they are no longer required to be retained by the agency.

*Possible disposition actions include transfer to Washington State Archives and destruction.*

### ***Disposition Authority Number (DAN)***

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

### ***Essential Records***

**Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.**

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.*

### ***Non-Archival***

**Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.**

*Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*

### ***Non-Essential Records***

**Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.**

### ***OFM (Office Files and Memoranda)***

**Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”*

## **OPR (Official Public Records)**

**Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”*

## **Public Records**

**RCW 40.14.010 – Definition and classification of public records.**

*“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”*

## **Records Series**

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

## **State Records Committee**

**The committee established by RCW 40.14.050 to review and approve disposition of state government records.**

*Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.*



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# University of Washington Records Retention Schedule

## 02 President's Office

*President, Provost, Ombudsman, Rules Coordination, University Committees, and Senior Vice Presidents*

### /02/02/03/ Applied Physics Lab: Finance

*Research Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 09 59296	<b>Administration Records for Small Purchase Order Contracts</b> Contract documents for APL's small purchase order contracts.	Retain for 6 Years after Submission of Final Expenditure Report	OPR
99 09 59297	<b>Cost Accounting Records for Grants/Contracts</b> Records of financial transactions on federal grants and contracts. Includes Project Activity Reports (PARs). Project Status Reports (PSRs), vendor invoices, purchase requisitions, purchase orders, packing slips, stores requisitions, Cost Transfer Invoices (CTIs), petty cash and revolving fund vouchers, Request for Expenditure Adjustments (REAs), Per Diem Advances, Travel Expense Vouchers, Timesheets, Retroactive Salary Transfers (RSTs) and associated JV's, Work Requests.	Retain for 6 Years after Submission of Final Expenditure Report	OPR
99 09 59298	<b>Prorated Direct Cost (PDC) Budget</b> Annual budget document that supports the derivation of an annual rate used to allocate certain direct costs to grants and contracts.	Retain for 6 Years after End of Fiscal Year	OPR

### /02/02/04/ Applied Physics Lab: Center for Process Analysis and Control

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 09 52971	<b><i>Patent Disclosure</i></b> Provides a record of patent disclosure for technologies developed through CPAC. May include: correspondence, disclosure, Confidentiality Agreement(s), memoranda, etc.	Retain for 3 Years after Date of Issue	OFM
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## **/02/03/ Ombudsman**

*Manages and resolves conflict among student, staff and faculty*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 01 45418r1R3	<b><i>Client Files</i></b> Provides a progress report and a record of interactions with clients for informal dispute resolution. May include the following documents which are signed by the client and a representative of the Ombudsman's Office: Client Orientation Checklist, Client Profile, Release Form, Client Plan.	Retain for 6 Years after Case Closed	OPR
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## **/02/04/ Rules Coordination Office**

*Oversees the University's rule-making process, including the review, creation, amendment, and repeal of the UW's Washington Administrative Code rules*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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03 12 60625r1R2	<b><i>Final Orders/Declaratory Orders Index</i></b> Creates an index of final orders for adjudicative proceedings and Declaratory Orders. Includes correspondence. Actual Declaratory Orders are included in Board of Regents Meeting Minutes. Final Orders for adjudicative proceedings are included in Faculty Adjudication Files on the UW General Records Retention Schedule. Index required as per RCW 42.56.070.	Retain for 6 Years after End of Calendar Year	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62901	<b><i>Joint Administrative Rules Review Committee (JARRC) Actions</i></b> UW record of actions taken by the Joint Administrative Rules Review Committee who can choose to investigate the procedures used in an agency's rule making process. Includes correspondence.	Retain for 6 Years after End of Biennium	OPR
11 12 62904	<b><i>Notification by Outside Agency of WAC Changes</i></b> Provides a record of notification by state agencies who would like to include the UW in their WAC rule making. Distributed to appropriate University offices who have the choice of following-up with the outside agency.	Retain for 1 Year after End of Calendar Year	OFM
11 12 62902	<b><i>Outside Agency WAC Changes</i></b> UW involvement commenting and monitoring other agency rule making.	Retain for 6 Years after Rule Making Process Closed or Withdrawn	OFM
03 12 60624r1R2	<b><i>Petitions For Adoption, Amendment, or Repeal of a Title 478 WAC Rule</i></b> State Office of Financial Management (OFM) forms received from members of the public and directed to the Board of Regents for adoption, amendment, or repeal of a Title 478 WAC rule. Includes correspondence and incompletes. (Required as per RCW 34.05.330)	Retain for 6 Years after Approval or Denial of Petition	Potentially Archival OPR
03 12 60622r1R2	<b><i>Policy and Interpretative Statement Indexes</i></b> An index which documents statements of policy and interpretations of policy and WAC rules which have been adopted by the University. Required as per RCW 42.56.070.	Retain for 6 Years after Superseded	OPR
03 12 60621	<b><i>Rule Review</i></b> Promulgated by executive order 97-02 Regulatory Improvement, provides a record of the University's efforts to review rules for potential rule making revision. Includes ongoing Agency Plan.	Retain for 6 Years after Administrative Purpose Served	Potentially Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62903	<b><i>Rules Coordinator Registration and Washington State Register (WSR) Notices</i></b> Documents the appointment of the Director of Rules Coordination as the central contact for the UW for WSR notices and for electronic access to the WSR.	Retain until Superseded	OFM

03 12 60626r1R2	<b><i>Washington State Register (WSR) Filings for Semi-Annual Agenda</i></b> Required as per RCW 34.05.314, provides a record of WAC rules which the UW is considering adopting in some form over the next 6 months. Filed with the State Office of the Code Reviser for publication in the Washington State Register. Also posted to Rules Coordination Office's online WAC Rules Docket.	Retain for 6 Years after End of Calendar Year	OPR
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## **/02/05/ University Committees**

*Faculty Senate and its leadership, the Senate Executive Committee (SEC) and the Senate Committee on Planning and Budgeting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 09 48181r4.R5	<b><i>Adjudication Files</i></b> Provides record of the adjudicative proceedings of the faculty committee empowered to act in a judicial capacity for the resolution of differences. May include the petition, administrator's response, hearing documentation, decision of the committee, President's response, appeals, correspondence, reports, audio tapes, etc.	Retain for 6 Years after Case Closed	Archival OPR
91 09 48182r3R5	<b><i>Adjudication Panel Overview</i></b> A log which provides a cumulative listing of petitions to the Adjudication Panel. Lists petitioner, nature of grievance, recommendations from hearing committee, President's action, names of panel members, inclusive dates, whether the case was appealed or not, decision, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM
08 03 61768	<b><i>Adjudication Proceedings - Inquires</i></b> This series provides a record of faculty members who have inquired about adjudication process but never filed a petition.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 09 48183r2R1	<b><i>Class A Senate Bulletins</i></b> Provides an explanation of proposed legislative actions to amend the Faculty Code. Includes proposed draft legislation and resolutions.	Retain for 6 Years after End of Academic Year	Archival OFM
91 09 48184r2R1	<b><i>Class B Senate Bulletins</i></b> Provides record of general legislative actions other than those which amend the Faculty Code. Includes working papers and memos regarding rationale for the actions.	Retain for 6 Years after End of Academic Year	Archival OFM
91 09 48185r2R1	<b><i>Class C Senate Bulletins</i></b> Provides a record of non-legislative Senate actions which include passage of resolutions, appointment of committees, approval or disapproval of committee reports, reception of reports or information, and determination of Senate By-laws. Includes minutes, correspondence, bulletins, reports, etc. Also includes the Faculty Senate Report which serves as a newsletter format summary of Senate meetings.	Retain for 6 Years after End of Academic Year	Archival OFM
91 09 49214r3R5	<b><i>Faculty Senate Directory</i></b> Provides listing of Faculty Senate members, committee members, Committee Chairs, etc.	Retain for 3 Years after Superseded	Archival OFM
91 09 49215r2R1	<b><i>Faculty Senate Meetings</i></b> Provides record of meetings of the Faculty Senate. May include transcriptions, audio tapes, minutes, agendas, policies and procedures, constitution, evaluations, reports, etc. Includes annual bound volume of Senate proceedings and committee reports0	Retain for 6 Years after End of Academic Year	Archival OPR

### 03 National Primate Research Center

*Primate Research Center*



/03/01/02/

## National Primate Research Center: Animal Records

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 12 58188r1R1	<b>Animal Record</b> A record of the history of each animal registered to the Primate Center.	Retain for 2 Years after Death or Transfer of Animal	OFM
87 9 40700r2.R1	<b>Animal Record - Electronic</b> Record of animal husbandry, clinical, and research history compiled from paper records, including lab reports, assignments to research projects, etc. Maintained as per 9 CFR 103.2 and 9 CFR 2.75.	Retain for 25 Years after Death or Transfer of Animal	OPR
87 9 40705r2R1	<b>Animal Shipment Records</b> Provides a record by shipment of animals received by the Primate Center. Includes all records required by the Centers for Disease Control (CDC), including APHIS Form 7020 "Record of Acquisition, Disposition or Transport of Animals," which accompanies each shipment. Also includes Permits for Exportation and Small Animal Health certificate AGR 3008 as per WAC 16-54-030 and 9 CFR 2.78.	Retain for 6 Years after End of Calendar Year	OPR
97 12 58177	<b>Animal Technician Weekly Checklist</b> Provides a record by room of specific items of animal husbandry (e.g., bedding changes, daily feedings) and of environmental conditions within each room of the facility in which animals are maintained (e.g., temperature range, enrichment items). Must remain in animal area.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 03 68202	<b><i>Environmental Enhancement Calendars</i></b> This series provides a record of animal technicians disbursing food and foraging enrichment to the animals, where the variety and contents of enrichment items follow the Washington National Primate Research Center Division of Primate Resources SOP#712. Environmental enrichment is required as per 9 CFR 3.81. Must remain in animal area.	Retain for 6 Years after End of Calendar Year	OPR
87 9 40704	<b><i>Importer's Registration</i></b> Authorization letter to the Primate Center for registration as an animal importer. Renewed every two years.	Retain for 6 Years after Renewal of License or Permit	OPR
97 12 58182r1R1	<b><i>Pathology/Necropsy Reports</i></b> Provides a record of results of pathological testing or necropsy for each animal death.	Retain for 1 Year after End of Calendar Year	OFM
87 9 40703r1.R0	<b><i>Tissue Program Users Folders</i></b> Provides a record of requests from researchers for primate tissue samples. Includes the Biohazards Safety Statement, signed by the requester, that is maintained as per 29 CFR 1910.145(e)(4). For UW researchers, a copy of their EH&S approval form is included.	Retain for 6 Years after End of Calendar Year	OPR

## 04 Vice Provost for Academic Personnel

*Academic Human Resources, International Scholars, Scholarly Integrity*

### /04/01/ Academic Human Resources

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62655	<b><i>Faculty or Academic Staff Member Proof of Relationship Documentation</i></b> This series documents the relationship between new faculty or academic staff members and their spouses/dependents. Used to waive out-of-state portion of UW tuition for spouses/dependents who are not yet Washington state residents.	Retain for 6 Years after End of Calendar Year	OPR
86 1 35656	<b><i>Summary of Outside Professional and Public Services</i></b> A form which lists professional services (e.g., lecture series, appointments to editorial boards, extended professional service in the community) provided by academic personnel regardless of compensation. This record is now electronic.	Retain for 10 Years after End of Academic Year	OFM

## **/04/02/ Office of Scholarly Integrity**

### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 09 62095	<b><i>Research, Scientific or Scholarly Misconduct Allegations- Concluded at Inquiry Stage</i></b> Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under Executive Order No. 61 where inquiry concludes that investigation not warranted. Includes notification to respondent of allegation, any sequestered research materials relevant to allegation, and final inquiry record and report. (See 42 CFR § 93.317 for 7-year retention requirement.)	Retain for 7 Years after UW Closes Case	OPR
09 09 62094	<b><i>Research, Scientific or Scholarly Misconduct Allegations- Declined or Resolved Prior to Inquiry</i></b> Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under University Executive Order No. 61 where matter declined (e.g., because not within purview of Office of Scholarly Integrity) or resolved (e.g., because allegation withdrawn) prior to initiation of an inquiry.	Retain for 3 Years after Allegation declined or resolved by Office of Scholarly Integrity	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 09 62096	<b><i>Research, Scientific or Scholarly Misconduct Allegations-Investigation Warranted</i></b> Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under Executive Order No. 61 where investigation warranted. Includes notification to respondent of allegation, any sequestered research materials relevant to allegation, final inquiry record and report, and final investigation record and report (including witness interviews). (See 42 CFR § 93.317 for 7-year retention requirement.)	Retain for 7 Years after UW or Federal Government Closes Case, Whichever is Later	OPR

## **/04/05/ Equal Opportunity**

*EOAA action ensures University compliance with the law and spirit of equal opportunity and affirmative action.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 03 46009r3.R2	<b><i>Classified and Professional Staff and Faculty List</i></b> Provides a yearly list of personnel during any given academic year. May include Applicant flow reports and employee profiles. Comprises a historical record of UW workforce.	Retain for 3 Years after End of Calendar Year	OFM
93 09 53041	<b><i>Compliance Review</i></b> Documents reviews of UW compliance with nondiscrimination and affirmative action laws by federal enforcement agencies.	Retain for 6 Years after End of Calendar Year	Archival OPR
90 03 46002 Rev. 1	<b><i>Faculty Roster</i></b> Provides list of faculty for each academic year. Source document for faculty profile reports.	Retain for 2 Years after End of Calendar Year	OFM
90 03 46011 Rev. 1	<b><i>Internal Research Projects, Surveys, Reports</i></b> Provides a record of studies done by the office on various aspects of the workforce.	Retain for 6 Years after End of Calendar Year	Potentially Archival OFM

**/04/06/**

## International Scholars Office

Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 07 59773	<b><i>Application for Permanent Resident Status</i></b> Documents requests for permanent resident status by faculty holding J-1 or H-1 visas. May include INS Forms I-485 or I-698, supporting documentation, green card documentation, etc.	Retain for 6 Years after Immigrant Visa Application Approved	OPR
90 01 45455r2R0	<b><i>H-1 Status Faculty Folders</i></b> Documents procedures necessary for international faculty seeking INS non-immigrant status as temporary workers (H-1). May include: Certificate of Eligibility for Exchange Visitor Status, Petition to Classify Nonimmigrant as Temporary Worker or Trainee (Form I-129B), Application to Extend Time of Temporary Stay (Form I-539), Application by Nonimmigrant Alien for Replacement of Arrival Documentation (Form I-102), Foreign Faculty or Staff Appointment Visa Request (UW 1025), etc.	Retain for 6 Years after Termination of Employment/Completion of Program	OPR
90 01 45453r2R0	<b><i>J-1 Status Faculty Folders</i></b> Documents procedures necessary for international faculty seeking INS non-immigrant status as leaders in a field of specialized knowledge, or as participants in a USAID program (J-1 status). May include: Certificate of Eligibility for Exchange Visitor Status, Application to Extend Time of Temporary Stay (Form I-539), Application by Nonimmigrant Alien for Replacement of Arrival Documentation (Form I-102), Foreign Faculty or Staff Appointment: Visa Request (UW 1025), etc.	Retain for 6 Years after Termination of Employment/Completion of Program	OPR
07 05 61507	<b><i>Labor Condition Applications</i></b> This series provides a record of applications granting approval from the Department of Labor to hire a foreign worker. As per CFR 655.760.	Retain for 1 Year after Termination of Employment/Application Expired or Withdrawn	OFM

**/05/01/01/****Library: Development***Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61221	<b><i>Donor Records</i></b> Provides a record of UW Libraries donors (individuals, foundations, and corporations). May include contact reports, correspondence, gift appraisal information, newspaper clippings, copies of financial information, etc.	Retain for 10 Years after Last Contact	Archival OPR

**/05/01/03/****Library: Organization Dev and Training***Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 05 61192	<b><i>Applications for Funding for Continuing Education</i></b> This series provides a record of staff requests for reimbursement or funding for continuing education courses.	Retain for 2 Years after End of Biennium	OFM

**/05/01/06/****Library: Facilities Operations***Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 05 61190	<b>Key Card Access Form</b> This series provides a record of employees, as authorized by their supervisor, who are granted key card access to the UW Libraries buildings.	Retain for 1 Year after Access no longer required	OFM

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**/05/02/03/ Library: Research and Instructional Service: Access Services: Ill-UWorld Express**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 06 55508	<b>Annual Invoice for Membership in Copyright Transactional Reporting Service</b> Provides record of payment of annual registration fee to the Copyright Clearance Center.	Retain for 2 Years after End of Fiscal Year	OFM
95 06 55507	<b>Copyright Compliance Lists</b> Provide listing of the number of copyright requests for each title in a year period. Used to determine required copyright fees per copyright law.	Retain for 6 Years after End of Fiscal Year	OPR
95 06 55510r1R2	<b>UWorld Statistics</b> Provide a record of lender and academic department activity.	Retain for 3 Years after End of Fiscal Year	OFM

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**/05/02/04/ Library: Research and Instructional Services: Special Collections**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61234	<b><i>Accession and Disposal Chart</i></b> This series is a daily log showing the accessions and disposals in Special Collections. Special Collections is comprised of private papers and public records.	Retain for 6 Years after Last Box Deaccessioned	Archival OPR
90 8 46564	<b><i>Building Security System Files</i></b> Reports produced by security company documenting each time the alarm at the off-site storage was armed or disarmed. Information on reports includes time opened/closed, date activity (i.e. hours extended, water alarm, etc.), and authorized individuals	Retain for 1 Year after End of Calendar Year	OFM
06 07 61232	<b><i>Collection Use File</i></b> Provides a record of which patrons accessed a collection and on what date. This information supplements the Retrieval Request Form (White Copy).	Retain for 20 Years after End of Calendar Year	Archival OPR
91 12 49535r1R3	<b><i>Copy Request Forms</i></b> Provides a record of what was copied, cost, date and the patron's signed acknowledgement of copyright. Includes electrostatic, photographic, audio and video copying.	Retain for 6 Years after End of Fiscal Year	OPR
91 12 49542 r1R4	<b><i>Donor Files</i></b> Provides a record of activity involving the transfer or donation of records by UW offices, private donors, organizations, etc. to Special Collections. May include deed of gift, appraisal notes, correspondence, transmittal memo.	Retain for 6 Years after Collection Deaccessioned	Archival OPR
91 12 49554r1R4	<b><i>Reference Correspondence</i></b> Provides a record of patron question and answers in both electronic and hardcopy formats.	Retain for 1 Year after End of Month	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61233	<b>Registration Database</b> Provides a record of who has entered the Special Collections' Reading Room. This information is entered into the database from Registration Slips filled out by the patrons. Upon entry into the database, the slips are destroyed. The database contains the patron's name, date when visited, address, and user status.	Retain for 10 Years after End of Calendar Year	OPR
91 12 49560r1R4	<b>Retrieval Request Form -- White Copy</b> Primary copy of requests for retrievals designated as Rare, such as books, photos, maps, or architectural drawings. Used for statistics and to document use of the collection for security purposes.	Retain for 20 Years after End of Calendar Year	OPR
91 12 49562r1R4	<b>Short Term Loan Forms</b> Provides a record of archival materials temporarily loaned out of the division.	Retain for 6 Years after Material Returned	OPR
91 12 49565r1R4	<b>User Agreements</b> Provides a record of agreements regarding access to and use of materials in the collection. Record is signed by a user who has agreed to a specific set of conditions for use of the material.	Retain for 6 Years after Termination of Research	OPR

/05/02/05/

## Library: Research and Instructional Services: Reference and Research Services

Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 04 50298	<b>Activity Calendar</b> Provides record of activities, meetings, holiday and vacation time, for all division staff in one composite desk calendar.	Retain for 5 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 04 50299	<b>Statistics -- Daily Use Tallies</b> Provides daily record (hatch mark tally sheets) of reference services provided to library patrons.	Retain for 1 Year after End of Calendar Year	OFM

92 04 50300	<b>Statistics -- Monthly Summaries (Reference Division)</b> Provides monthly summary compilation of daily statistics regarding reference services provided to library patrons.	Retain for 5 Years after End of Calendar Year	OFM
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## **/05/03/01/ Information Resources, Collections and Scholarly: Collection Management Services**

Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 05 61186	<b>License Negotiation Files</b> This series provides a record of the negotiation process for obtaining rights to online databases. Includes correspondence [Correspondence includes the negotiating documents and the questions clarifying the usage and language of the contract after the contract is signed], financial documents, and signed contract.	Retain for 6 Years after License superseded or termination of contract	OPR

## **/05/03/02/ Information Resources, Collections and Scholarly Communications: Gifts Program**

Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 05 61185	<b>Non-Cash Gift Records</b> Provides a record of non-cash gifts, including both non-appraised and appraised items, received by the UW Libraries. May include gift transmittal, gift report form, correspondence, etc. which document the donation to the UW Libraries.	Retain for 10 Years after Last Gift From Donor	Archival OPR

**/05/03/03/**

## Information Resources, Collections and Scholarly: Digital Initiatives

Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 06 61204	<b><i>Rights Agreement</i></b> This series provides a record of agreement between the UW Libraries and historical or community organizations from Washington State, allowing the UW to post online collections, such as oral histories or photographs, etc. held by the organizations. Files may include correspondence and informal negotiation notes.	Retain for 6 Years after Agreement Finalized	Archival OPR

**/05/03/05/**

## Information Resources, Collections and Scholarly: Preservation Program

Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 02 62424	<b><i>Preservation Copy Log</i></b> This series, also known as the shipment list, provides a record of the monographs or serials sent to vendors for microfilming or photocopying. Contains call no., title, date, and cost information.	Retain for 6 Years after End of Calendar Year	OPR
11 02 62425	<b><i>Preservation/Replacement Decision Form</i></b> This form initiates the replacing, retaining, or discarding of monographs or serials. The form contains the item's barcode number, UW holdings/status, date, call no., item type, notes, and the signatures of the selector and Preservation Officer.	Retain for 6 Years after Action Completed	OFM

**/05/04/01/**

**Library: Information Technology Services: Serial and Monographic Services**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61243	<b><i>Binding Records</i></b> Provides a record of the binding requests for serials. The records contain the status of volumes needing to be bound, delivery date, financial information, and binding instructions.	Retain for 6 Years after Title Ceases or Not Ordered	OPR

**/05/09/01/**

**Health Sciences Library and Information Center: Fiscal Office**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 10 57122r2R0	<b><i>Course Reserves Request Form</i></b> Provides record of course reserve requests. Includes communication with faculty concerning the status of their reserve requests; records of personal property of faculty used for reserves; and information for when and how personal property is to be returned to faculty.	Retain until End of Quarter	OFM

**/05/14/**

**Library: UW Bothell**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 10 61352	<b><i>Audio/Visual and Video Equipment Requests (Equipment Stolen)</i></b> A record of UW Bothell's Audio/Visual and Video Equipment checked out by students. This series applies only to those requests where the equipment is stolen. And once a police report number is received, the personal information is deleted from the record.	Retain for 2 Years after Police Report Number Received	OFM

## 06 Undergraduate Academic Affairs

*Center for Experiential Learning, Educational Assessment, Gateway Center, Academic Programs, and Teaching Academy*

### /06/02/02/ Undergraduate Academic Affairs: Jumpstart

*Academic Affairs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 02 61932	<b><i>Child Roster</i></b> This series provides a record of children in preschool classrooms that have been assessed with the School Success Checklist and could potentially be paired with a CorpsMember.	Retain for 7 Years after End of Funding Cycle	OPR
09 02 61936	<b><i>CorpsMember Applications - Not Accepted</i></b> A record of applicants who were not accepted into the Jumpstart program.	Retain for 1 Year after End of Funding Cycle	OFM
09 02 61937	<b><i>CorpsMember Files</i></b> This series provides a record of students who participate in the Jumpstart program which is funded by AmeriCorp. Files may include timesheets, background checks, performance evaluations, health information, etc.	Retain for 7 Years after End of Funding Cycle	OPR
09 02 61931	<b><i>Family Consent Forms</i></b> This series provides a record of parental or guardian permission that their child may participate in a classroom in which a CorpsMember is volunteering.	Retain for 7 Years after End of Funding Cycle	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 02 61935	<b><i>Program Partner Agreements</i></b> This series provides a record of agreement between the University and preschools where students are volunteering.	Retain for 7 Years after End of Funding Cycle	OPR
09 02 61933	<b><i>School Success Checklist</i></b> This series provides a record of the educational assessment of a child pre and post mentoring.	Retain for 1 Month after End of Funding Cycle	OFM
09 02 61934	<b><i>Volunteer Engagement Files</i></b> This series provides a record of people who have participated in a Jumpstart-sponsored program, event, or activity. May include contact information, waivers, surveys, volunteer feedback forms, etc.	Retain for 7 Years after End of Funding Cycle	OPR

## **/06/03/ Classroom Support Services**

### *Classroom Support Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 03 47465	<b><i>Film/Video Agreements</i></b> Provides record of agreements to buy films and videos (purchase rights to duplication, transmission, and dissemination for the life of the media).	Retain for 6 Years after Life of Media	OPR

## **/06/05/ Office of Educational Assessment**

### *Education Assessment*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 01 56400r1R1	<b><i>Off-Campus IAS Scanable Survey Sheets</i></b> Service performed for non-UW educational institutions in which scanable survey sheets, completed by students, are used to evaluate teaching effectiveness. Provides the raw data upon which summary reports are based. Payment is received after summary reports are released to clients.	Retain for 2 Months after End of Quarter	OFM
06 04 61134	<b><i>Off-Campus Service Request Forms</i></b> Report of the number of forms produced, ordered, scanned, and processed for non-UW educational institutions teaching evaluations. Report also includes information about the class including instructor's name and class size. Used for statistical tracking.	Retain for 1 Year after End of Calendar Year	OFM
06 04 61135	<b><i>Registration Forms</i></b> Forms sent in to register for tests being administered at the University of Washington or another testing site that is contracted by the university.	Retain for 1 Year after End of Calendar Year	OFM
90 01 45540r1R2	<b><i>Test Answer Sheets</i></b> Provides a written record of student responses to the various examinations offered by the Testing Office. May include: Math Placement Exam, Chemistry Placement Exam, and other similar placement or assessment exams.	Retain for 2 Years after End of Calendar Year	OFM
90 01 45539r2R2	<b><i>Test Score Result Records</i></b> Provides a summary record of entrance or placement exam results taken by students. Results are sent to respective university, school, or department as specified by the student. May include Chemistry, Mathematics, and Honor Placement tests, Foreign Language Placement tests, ESL Diagnostics, SPEAK, etc.	Retain for 7 Years after End of Academic Year	OFM
96 01 56399r1R1	<b><i>UW - IAS Scanable Survey Sheet</i></b> Scanable survey sheet completed by UW students and used to evaluate teaching in various instructional settings. Provides the raw data upon which summary reports are based.	Retain for 2 Months after End of Quarter	OFM

**/06/06/02/**

**Undergraduate Academic Affairs: Gateway Center: First Year Programs**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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00 08 59860r1R0

***Refund Letters***

Provides a record of refund letters received by the office and reviewed for verification of deadline and amount of refund. The Orientation Database is considered the primary record of the information and tracks the receipt of the refund letters, amount refunded, and dates when letters were sent and refund was given to Student Accounts.

Retain for 3 Years after  
Data Entry

OFM

**/06/06/03/**

**Undergraduate Academic Affairs: Gateway Center: Undergraduate Advising**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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99 03 59020r1R7

***Re-instatement Files -- Not Graduated***

Academic files for individuals dropped from the University due to low scholarship. May include notes of advisor, petitions for re-instatement from student, advisors approval or decline of petition, or Re-instatement Review Committees review and approval/denial of petition. Students may petition for re-instatement to the University at any time in the future and for as many times as they want. These files provide the only documentation why the advisor or the Re-instatement Review Committee denied a petition.

Retain for 50 Years  
after 5th Denied  
Petition

Potentially Archival  
OPR

**/06/07/01/**

**Robinson Center for Young Scholars**

*Student Programs*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44209r1.R1	<b><i>Client Folders</i></b> Folders for individuals requesting diagnostic and counseling services through the Center. Services range from testing to psychological evaluations for gifted children or potentially gifted children from ages 4-14. May include call in sheet, information packet, application, behavior checklist, test results, session notes, etc .	Retain for 8 Years after Age 14	OPR
09 11 61249	<b><i>Early Entrance Program (EEP) Adviser Academic File Folders</i></b> Record of academic progress of students enrolled in the Center's Early Entrance Programs. The program takes the place of high school by allowing gifted children early entrance to college. Contents of file include: copy of TS application, TS quarterly evaluations, EEP/Academy Academic Advising and Support notification sheet, UW letter of admission, any high school or college transcripts (if applicable) and any AP score reports (if applicable) and UW grade sheets and transcripts.	Retain for 6 Years after Degree Awarded/ Last Activity	OPR
06 02 61107	<b><i>New Talent Search Files</i></b> Compilation of 5th-8th grade students ranked in the top 3% academically. The records are used to contact the qualified students about appropriate programs and events offered by the Robinson Center.	Retain for 2 Years after End of Calendar Year	OFM
99 05 59103r1.R2	<b><i>Program Applications - Not Entered or Not Accepted</i></b> Application materials for students who did not enter or were not accepted to Robinson Center programs. May include applications to such programs as the Early Entrance/Transition School, Summer Program, or UW Academy. May include applications, letter of acceptance, letters of denial, etc.	Retain for 1 Year after Completion of Application Process	OFM
99 05 59102r1R2	<b><i>Program Student Folders- Withdrawn</i></b> Academic folders for students who withdrew from a Robinson Center program. May include folders for programs such as the Early Entrance/Transition School, the Summer Program, and the UW Academy.	Retain for 5 Years after Last Contact	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44212r1.R1	<b><i>Summer Program Client Records</i></b> Records of participants from the summer programs sponsored by the Center. Includes test results, letter of acceptance, financial statement, application, consent for medical emergency treatment, and final progress reports. After 3 years the files are purged and only the application, financial statement and final progress report are kept.	Retain for 7 Years after End of Session	OPR
09 11 62151	<b><i>Transition School Financial Folders</i></b> Contain requests for financial aid assistance application, income documentation verification, financial aid award letter, TS tuition agreement, loan promissory note (if applicable), and invoice records of payments of TS tuition.	Retain for 6 Years after Date of Award	OPR
06 02 61111	<b><i>UW Academy Student Folders</i></b> Records for students who participated in the UW Academy. The UW Academy admits 35 carefully selected high school sophomores from Washington State to begin as freshmen in the UW Honors Program during what would ordinarily be their junior year of high school. May include applications, test results, acceptance letters, etc.	Retain for 6 Years after Completion of Program	OFM

## 07 Vice Provost for Research

*Office of Sponsored Programs, Office of Research,*

### /07/01/ Office of Sponsored Programs

*Research Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36972	<b><i>Grant and Contract Awards Report to the Board of Regents</i></b> Provides monthly comprehensive detail, summary and comparison data on all new or extended awards to be accepted formally by Board of Regents.	Retain for 10 Years after End of Fiscal Year	Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36967r2R9	<b><i>Grant and Contract Proposal - Not Confirmed</i></b> Provides record of University grant and contract proposals with no award decision by funding agencies. May include: Proposal for grant or contract, Proposal control sheet, Request for Approval of Application for Grant or Contract (EGC-1), correspondence, notes, etc.	Retain for 2 Years after EGC-1 Approved	OFM

98 MM 58955	<b><i>Grants and Contracts Database</i></b> Provides a record of all grants and contracts applied for by the University. Includes information regarding awards received, proposals submitted, and direct expenditures incurred. Used for tracking current status of a grant/contract, historical tracking, reporting, comparison of current figures to previous years, tracking trends over various periods of time, planning, responding to public records requests, etc.	Retain until Administrative Purpose Served	OFM
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## **/07/02/ Office of Research: Administration**

### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61264	<b><i>Conflict of Interest Files</i></b> Provides a record of University efforts to ensure there is no conflict of interest between Principal Investigators and the companies who fund research. Files are created when an employee of the University involved in research may have an interest in the organization funding that research.	Retain for 50 Years after End of Calendar Year	OPR

06 09 61550	<b><i>Conflict of Interest Files--Not Funded</i></b> Provides a record of University efforts to ensure there is no conflict of interest between Principal Investigators and the companies who fund research. Files are created when an employee of the University involved in research may have an interest in the organization funding that research. These files are established for research that has not been funded.	Retain for 1 Year after End of Calendar Year	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 1 35873	<b><i>Request for Approval of Outside Prof. Services for Compensation During Period of Re</i></b> Provides a record of faculty requests to perform outside professional work.	Retain for 6 Years after End of Academic Year in Which the Services are Completed	OPR

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**/07/03/ Office of Research: Human Subjects Division**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 04 58340r1R4	<b><i>Certificate of Exemption</i></b> Form completed, in lieu of a formal application, for low-risk research using human subjects. Approved and signed by the chair of the Department, forms include information such as the project title, grant title, category under which the research qualifies for exemptions, abstract of the project, and human subject information (checklist). Reviewed by Human Subjects Division and, if does not meet exemptions, form is denied and researcher must submit formal application for human subject research approval.	Retain for 6 Years after End of Calendar Year	OPR
04 11 60822	<b><i>Complaints</i></b> Human Subjects protections related concerns and complaints which cannot be linked to a specific approved Human Subjects application.	Retain for 6 Years after End of Calendar Year	Potentially Archival OPR
98 MM 58342r1R3	<b><i>Human Subjects Database</i></b> Database tracks all applications received by Human Subjects Division. Application information includes title, name of principal investigator, date received, date of review, information about grants related to the application, status of application, period of approval, receipt date of adverse effect reports, modification requests, information about number of and type of human subjects enrolled/to be enrolled, etc.	Retain for 10 Years after Administrative Purpose Served	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 1 43543r2R3	<b><i>Human Subjects Review Committee Applications - Denied</i></b> Applications for research using Human Subjects that were denied by the Review Committee. May include, but not limited to, the following: application, sample consent forms, Review Committee's disposition documentation, the investigator's responses to the Committee, sponsor protocols, copy of Radiation Safety Committee review, correspondence and supporting documentation, modifications to applications, application annual reviews, annual and final status reports, Adverse Event Reports, non-compliance documentation, records requests, safety reports, confidentiality agreements, subject complaints.	Retain for 10 Years after End of Academic Year	OPR
04 11 60823	<b><i>Human Subjects Review Committee Applications--Withdrawn</i></b> Applications for research using Human Subjects that were withdrawn from consideration. May include, but not limited to: application, consent forms, Review Committee's disposition documentation, the investigator's responses to the Committee, sample sponsor protocols, copy of Radiation Safety Committee review, documentation of withdrawal.	Retain for 1 Year after Withdrawn	OFM
89 1 43542r2.R4	<b><i>Institutional Review Board Application Files - Approved</i></b> Applications submitted to Institutional Review Board Committee for approval to use human subjects in research projects. Files may include, but are not limited to, the following: master copy of applications, Review Committee's disposition documentation, investigator's responses to the Committee, consent forms, sponsor research protocols, correspondence and supporting papers, modifications to applications, annual status reports, adverse effect reports, safety reports, confidentiality agreements, copy of Radiation Safety Committee review, subject complaints and final status report.	Retain for 10 Years after Termination of Study	OPR
89 1 43544r1.R2	<b><i>Review Committee Agenda and Minutes</i></b> Report of Review Committee meetings. Agendas include date and time of meeting, name of committee chair, members in attendance, titles of applications to be reviewed, and names of reviewers. Minutes include the agenda, action taken on each application (approved, deferred, denied), and vote of committee members.	Retain for 10 Years after End of Academic Year	Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 10 61883	<b><i>Embryonic Stem Cell Research Application Files - Approved</i></b> Applications submitted to Embryonic Stem Cell Research Review Oversight (ESCRO) Committee and/or the Embryonic Stem Cell Research Chair for approval to use stem cells in research projects. Files may include, but are not limited to, the following: master copy of applications, Review Committee's disposition documentation, investigator's responses to the Committee, consent forms, sponsor research protocols, correspondence and supporting papers, modifications to applications, annual status reports, copy of Environmental Health & Safety (EH&S) approvals, and other relevant Compliance Office approvals.	Retain for 6 Years after Termination of Study	OPR
08 12 61905	<b><i>Embryonic Stem Cell Research Application Files - Denied</i></b> Applications for research using stem cells that were denied by the Committee and/or Chair. May include, but not limited to, the following: application, sample consent forms, disposition documentation, the investigator's responses to the Committee, sponsor protocols, copy of Environmental Health & Safety's approval, correspondence and supporting documentation, modifications to applications, application annual reviews, non-compliance documentation, records requests.	Retain for 6 Years after End of Academic Year	OPR
08 12 61904	<b><i>Embryonic Stem Cell Research Database</i></b> This database serves as a finding aid and does not include any original information. It tracks all applications received by Embryonic Stem Cell Research Oversight Office. Application information includes title, name of principal investigator, date received, date of review, information about grants related to the application, status of application, period of approval, modification requests, information about type of stem cells, etc.	Retain until Administrative Purpose Served	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61906	<b><i>Review Committee Agenda and Minutes</i></b> Report of Review Committee meetings. Agendas include date and time of meeting, name of committee chair, members in attendance, titles of applications to be reviewed, and names of reviewers. Minutes include the agenda, action taken on each application (approved, deferred, denied), and vote of committee members.	Retain for 6 Years after End of Academic Year	Archival OPR

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**/07/08/ Office of Research: Friday Harbor Laboratories**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 03 61121	<b><i>Ship Usage Log</i></b> This log documents the R/V Centennial's hours of usage and is used to generate the billing charge.	Retain for 6 Years after Disposal of Asset	OPR

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**08 Sr. Vice President for Finance and Facilities**

*Purchasing, Facilities, Capital Projects, Transportation Services, Creative Communications*

**/08/03/ Facilities Services: Organization Resources & Relations**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 MF 59143	<b><i>Request of Leave Taken - 1999 and prior</i></b> Provides record of leave taken by Facilities Services employees. Posted to Work & Leave Record (Form 220). Prior to the year 2000, the Request of Leave taken replaced the 220s in FSO and were the only signed documentation of leave, therefore replacing the 220s. All records prior to 2000 will need to be microfiched after 6 years and retained in that format for the remainder of the retention. - In 2006, the project is now complete. -	Retain for 50 Years after End of Month	OPR

**/08/04/**

**Facilities Services: Finance/Admin/Business Services**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43102r3.R3	<b><i>Inventory Issues/Receipts</i></b> Provide record of material used for a job. The receipt is signed by the individual doing the work. Though this series is still in hardcopy, the system will be electronic in the future.	Retain for 6 Years after End of Fiscal Year	OPR
88 11 43103r3R3	<b><i>Utilities Listings</i></b> Provide cumulative monthly computerized listing of all utilities paid by Physical Plant or Purchasing.	Retain for 3 Years after End of Fiscal Year	OFM

**/08/06/01/**

**Building Services: Custodial Services**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 8 44589	<b><i>After-Hours Building Incidents</i></b> Identifies problems found during custodial shifts, i.e. windows left open, doors unlocked, etc; notification sent to building coordinator for corrective action. This series is mostly completed via email and is summarized in shift reports.	Retain for 1 Year after End of Calendar Year	OFM
89 8 44585r2R2	<b><i>Carpet Cleaning Activity Database</i></b> Documents carpet cleaning program (i.e. request for cleaning, when it was done, number of hours to clean, etc.). Used to manage the scheduling of the program and identifying time use.	Retain for 5 Years after End of Calendar Year	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59136r1R2	<b><i>CustServe Database</i></b> Log of requests for Custodial Services. Currently requests are emailed to shift supervisors who add them to a day or night shift.	Retain for 1 Year after End of Calendar Year	OFM
89 8 44590r2R2	<b><i>Events Bulletin</i></b> Bulletin issued via email by Operations Center concerning overnight events, which notifies Custodial Services of any special problems discovered that need to be corrected, i.e. malfunctioning elevators, restroom problems, etc. Copy is sent to area supervisors for corrective action.	Retain until End of Day	OFM
99 06 59138	<b><i>Notice of Improper Hazardous Waste Disposal</i></b> Provides record of Custodial Services' notification to building coordinators for buildings which have department(s) who have violated hazardous waste disposal regulations. Environmental Health and Safety is also notified so that the material can be properly disposed of.	Retain for 2 Years after End of Calendar Year	OFM
89 8 44570r1.R1	<b><i>Shift Reports</i></b> Provides record of supervisor and group leader daily reports, i.e. work completed, unusual occurrences, maintenance, employee infractions, corrective actions taken, follow-up on absenteeism, run visits, evaluations, etc. Used to monitor areas for shift changes, time and staff use and reports on events/issues within Custodial Services.	Retain for 5 Years after End of Calendar Year	OFM

## **/08/06/02/ Building Services: Recycling & Solid Waste**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 09 46695r1R1	<b><i>Complaint Files</i></b> Provides record of complaints filed with UW Shuttles department about problem drivers or program problems. Includes details of complaint (when, who, where), investigation notes, correspondence and final results or actions taken if any.	Retain for 2 Years after Investigation Completed /Final Action Taken	OFM
99 04 59089r2R1	<b><i>Daily Vehicle Checks</i></b> Daily maintenance check of Property and Transport Services fleet. Completed by Property and Transport staff, check contains information on problems, action taken, checks to ensure vehicles are fully equipped, etc.	Retain for 2 Years after End of Fiscal Year	OFM
99 04 59088r1R1	<b><i>Overtime Sign-Up Sheets and Notification Logs</i></b> Sheets are used to determine individuals willing to work overtime each quarter based on seniority. Logs include when the individual was called, what job they were called for and their response.	Retain for 6 Years after End of Fiscal Year	OPR
90 09 46688r1.R1	<b><i>Property and Transport Services Non-Chargeable Job Requests</i></b> Provides record of departmental requests for the use of personnel and services for moving. Services may include: recycling, solid waste services, etc. Used to verify staff utilization and potential new programs.	Retain for 2 Years after End of Fiscal Year	OFM
99 04 59084r2R0	<b><i>Weekly Pick-Up Schedules</i></b> Schedules/routes for Solid Waste/Recycling and other commodities pick-ups. Indicates where trucks went, when, what was picked up. Used to identify staff utilization and determine new routes or changes.	Retain for 1 Year after End of Fiscal Year	OFM

**/08/07/**

## **Facilities Services: Maintenance and Alterations Division**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47137r1R2	<b><i>Administrative Subject Files</i></b> Provides information related to Maintenance and Alterations Division administration. Used to compile multi-year statistics and reports for Division. May include notes, correspondence, policy and procedural materials, reports, minutes, publications, reference material, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM
98 09 58698	<b><i>ATICTS Database</i></b> Also called Tool Inventory Program. Database contains program to track and monitor the status of the tools in the Maintenance and Alterations Division. Program includes components regarding type of tool, amount of each tool, status (which shop located at), check out and in, and maintenance work required. Program input from Equipment Inventory and output includes various reports including tool inventory and tool status.	Retain for 6 Years after Life of Tool	OPR
90 12 47136	<b><i>Building and Property Files (B&amp;P Files)</i></b> Provides record of small maintenance, alterations or renovations for each building on campus. May include: project phone lists, correspondence, inspection reports, cabinet memos, plans, Request for Facility Services, etc.	Retain for 2 Years after Building Demolished	Potentially Archival OFM
90 12 47143	<b><i>Damage to University Property Files</i></b> Provides record of repair work done to damaged University property. May include repair requisition, copies of vehicle accident reports, copies of police reports, etc.	Retain for 3 Years after Repair Completed	OFM
90 12 47152r1R1	<b><i>Equipment, Tool and Material Inventory - Internal</i></b> Provides record of internal inventory completed for equipment, tools and materials. May include count sheets, correspondence, summary report and copy of final inventory.	Retain for 2 Years after Completion of Inventory	OFM
90 12 47154r1R2	<b><i>Maintenance and Alterations Task Force Records</i></b> Documents the activities of Maintenance and Alterations various task forces' (i.e. Computer Task Force, Tool Task Force). May include correspondence, notes, meeting minutes, etc.	Retain for 5 Years after End of Calendar Year	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47149r	<b>Monthly Payroll Computer Printouts</b> Provides summarization of monthly payroll activities; i.e. overtime, hourly, sick leave, etc. May include: Overtime Payroll by Budget 01-111, Hourly Payroll by Budget 01-112, Overtime Detail by Shop 01-113, Overtime Summary by Shop (Fiscal Year to Date) 01-114.	Retain for 1 Year after End of Calendar Year	OFM
90 12 47139r1R2	<b>Personnel Roster</b> Listing of Facility Management employees working during a particular period of time. Includes name, social security number, shop affiliation. Used to verify where employee was located (shop affiliation), job title and position number during particular pay periods and for project information.	Retain for 5 Years after Superseded	OFM
90 12 47153r1.R2	<b>Preventive Maintenance Files</b> Files contain information on preventive maintenance program at UW i.e. inspections/repairs on backflow preventers, confidence testing (listing of smoke detectors, flammable liquid cabinets, emergency lighting), pressure vessels (steam equipment inspections), etc. May include inspection reports, permits, correspondence, policy and procedure materials, manuals, program development records, work orders, etc.	Retain for 6 Years after End of Calendar Year	Potentially Archival OFM
00 03 59571	<b>Refrigerant Use Form</b> Used to identify the amount of refrigerates used during maintenance. Information is entered into database and provides statistics for the EPA.	Retain for 2 Years after End of Calendar Year	OFM
90 12 47142r1.R2	<b>Special Events Files</b> Documents the coordination efforts for use of university grounds for special events (i.e. "Fair in the Square," Finnish Ambassador's visit, Slyvan Theatre use, etc.). Includes correspondence, notes, incidents, and planning files.	Retain for 3 Years after End of Calendar Year	Potentially Archival OFM

**/08/07/01/**

## Facilities Services: Lockshop

Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 02 62426	<b>Door Rekey Form</b> This series provides a record of work performed by locksmiths. Used to update the Lockshop Database.	Retain for 3 Months after End of Calendar Year	OFM
02 07 60374r1R1	<b>Key Request Forms</b> Requests submitted by offices to request key/lock installation, replacement and/or duplication for individual keys/locks.	Retain for 3 Months after End of Calendar Year	OFM
02 07 60375	<b>Lockshop Database</b> Maintains a record of key/lock locations in campus buildings, and master key/locks and keys in use.	Retain for 6 Years after Superseded	OPR
02 07 60377	<b>Record of Key Issuances</b> Provides a record of active keys issued to departments. Includes department requesting key, date of request and number of keys requested.	Retain for 1 Year after Key Discontinued	OFM

**/08/07/02/**

## Facilities Services: Asbestos Management

Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 04 62450	<b><i>Air and Bulk Sample Lab Reports</i></b> This series provides a record of lab reports received prior to July 2010 when the UW contracted out the air sampling and evaluation to consultants. These lab reports are the only documentation received by the UW to prove the abatement work was done correctly and the building was ready for occupation. Required as per 29CFR1926.1101(n)(2)(iii).	Retain for 30 Years after End of Calendar Year	OPR
11 04 62449	<b><i>Air and Bulk Sample Survey Reports</i></b> This series provides a record of lab reports for asbestos, lead testing, etc. in buildings that were recently renovated to prove that work was completed correctly and that the building is ready for occupation. Required as per 29CFR1926.1101(n)(2)(iii).	Retain for 30 Years after End of Calendar Year	OPR
11 04 62452	<b><i>Air Samples</i></b> This series provides a record of the physical sample upon which testing was done. Required as per 29CFR1926.1101(n)(2)(iii).	Retain for 30 Years after End of Calendar Year	OPR
11 04 62451	<b><i>Asbestos Database</i></b> This series provides a record of asbestos abatement occurring at the UW. Used to reconcile the billing information provided by the contractor and consultants to ensure the UW is paying the correct amount. This database is used for financial purposes only; the official record regarding the abatement is included in the lab reports series.	Retain for 6 Years after End of Calendar Year	OPR
11 04 62453	<b><i>Asbestos Surveys</i></b> This series provides a record of AHERA (Asbestos Hazard Emergency Response Act) surveys that are done at the requests of UW departments. Retention as per 29 CFR 1926.1101(n)(6).	Retain for 6 Years after Building Demolished	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 02 56498	<b><i>Close Out Documents</i></b> Required for major asbestos projects, provides a summary of events and activities followed during the course of an asbestos abatement. Includes final project report, photographs, contractor/consultant daily work observation, waste/landfill receipts, PSAPCA notifications, representative area air monitoring, personnel air monitoring, worker training, contractor insurance certificates, pay applications, releases/waivers, as-builts from contractor, etc.	Retain for 30 Years after Project Complete/ Acceptance	Potentially Archival OPR

## **/08/09/01/ Facilities Services: Campus Operations**

### *Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59575	<b><i>Confidence Testing Worksheet</i></b> Worksheet used by Campus Operations - Fire Alarm/Signal System Unit to inspect a buildings fire alarm system. Includes name of tester, building name, control panel information, equipment tested, problems found, corrections made, date and signature of signal shop supervisor. Worksheets are kept in Shop 24, Campus	Retain for 1 Year after End of Calendar Year	OFM
10 12 62354	<b><i>Fire Alarm Building Schematic</i></b> This series provides a diagram of the fire alarm system in each University building.	Retain until Superseded	OFM
00 03 59576	<b><i>Fire Alarm/Signal Inspection Drawings</i></b> Printouts from AutoCAD indicating fire alarm system in each building that are available via AutoCAD. Used by teams conducting inspections in buildings with complicated systems. May include notes made during inspection, which are then transcribed onto the Confidence Testing Worksheet. Drawings are kept in Shop 24,	Retain for 1 Year after End of Calendar Year	OFM
00 03 59573	<b><i>Radio Inventory</i></b> Inventory of frequencies and call numbers assigned to each radio. Used to track which radios are in use and if any are out for maintenance.	Retain for 3 Years after Superseded	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59572	<b><i>Radio Log</i></b> Log tracks all incoming and outgoing dispatch calls between units and radio shop. Includes description of problem, time, date, who called/reported, receiver, solutions suggested, etc. (This series is regulated by 47CFR73.1840 and meets retention requirements listed therein.)	Retain for 3 Years after End of Calendar Year	OFM
00 03 59577	<b><i>Seattle Fire Department Reports</i></b> Final Report (FA-8) of all Confidence Testing Worksheets combined and send to Seattle Fire Department. University of Washington copy is maintained in Shop 24, Campus Operations.	Retain for 6 Years after End of Calendar Year	OPR
00 03 59574	<b><i>Tunnel Key Log</i></b> Tracks who checked out keys for the UW tunnel. Log lists which specific key was checked out to whom and when it was returned. Used to ensure keys are returned, limit access to the tunnels and ensure no individuals are "locked" in the tunnel at the end of the day.	Retain for 3 Years after End of Calendar Year	OFM

## **/08/09/02/ Facilities Services: Campus Utilities**

### *Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 07 58559	<b><i>Chemical Feed Pump Reports</i></b> Used to monitor chemicals used for water treatment. Includes documentation of cooling tower and water treatment program.	Retain for 6 Years after End of Calendar Year	OPR
03 03 60510	<b><i>Confined Space Entry Permit (1219)</i></b> Provides a record of approval to safely enter a confined space while being monitored.	Retain for 6 Years after End of Calendar Year	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 07 58560	<b><i>Emergency Power System Tests and Logs</i></b> Provides a record of readings on the emergency power system test. Includes logs documenting tests.	Retain for 3 Years after End of Calendar Year	OFM
98 07 58561	<b><i>Engineer Daily Log</i></b> Provides a record of daily activity. Includes documentation of event, incident, time of occurrence, engineer on duty.	Retain for 3 Years after End of Calendar Year	OFM
98 07 58562	<b><i>Generator Outage Incident Reports</i></b> Comprised of reports which document temporary outage or operating incidents for steam turbine and diesel generators.	Retain for 3 Years after End of Calendar Year	OFM
98 07 58563	<b><i>Hourly Reports and Information Related to Environmental Compliance</i></b> Comprised of hourly, daily or monthly reports which provide documentation of emission monitoring and Notice of Violations. Includes logs and recorder charts which monitor steam flows, air flow readings, system pressure, temperature, gas flow, oil flow, natural gas, monthly fuel, etc. (Required as per 40 CFR 60.73)	Retain for 6 Years after End of Calendar Year	OPR
98 07 58564	<b><i>In-House Drawings</i></b> Comprised of in-house drawings of project upgrades.	Retain until Administrative Purpose Served	OFM
98 07 58565	<b><i>Lock Out/Tag Out Report</i></b> A maintenance file which provides a record of valves and switches involved in repair work.	Retain for 3 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 07 58566	<b><i>Mechanical File</i></b> Provides a comprehensive record of power plant equipment and construction. Used for reference and historical documentation. Includes photographs of construction; reference sheets; information on parts; copies of the original purchase orders, and work orders.	Retain for 1 Year after Life of Equipment	Potentially Archival OFM
98 07 58568	<b><i>Past Equipment Records</i></b> Documents performance of mechanical equipment no longer held by the power plant. Includes documentation regarding tonnage, capacity, etc. Used for comparison with current equipment.	Retain for 3 Years after Administrative Purpose Served	OFM
98 07 58570	<b><i>Recorder Charts (Old Boiler Charts)</i></b> Provides a record of readings on mechanical equipment operated by the power plant. Used to monitor daily operations. Includes fuel reports, reports of steam generated, temperature, humidity, electricity used, tonnage, loading capacity, amps, etc. May be created hourly as well as monthly. Includes log sheets.	Retain for 3 Years after End of Calendar Year	OFM
98 07 58571r1R2	<b><i>Request of Leave List</i></b> Log of employees assigned to shifts in the Generator Room. Used to monitor and assure coverage. Secondary to the Shift Logs.	Retain for 1 Year after End of Calendar Year	OFM
98 07 58572	<b><i>Shift Logs</i></b> Documents operators per shift. Used to track coverage and to reconcile shift differential pay slips.	Retain for 3 Years after End of Calendar Year	OFM
98 07 58573	<b><i>Test Records</i></b> Comprised of Quality Check Reports documenting tests performed on power plant equipment and their by-products. Includes water, boiler cooling, air-conditioning, etc.	Retain until Administrative Purpose Served	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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98 07 58569r1R2	<b><i>Time Records</i></b> Comprised of copies of power plant employee time records. Includes vacation, sick leave and comp. time records.	Retain for 1 Year after End of Calendar Year	OFM
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## **/08/09/03/ Facilities Services: Facility Records**

### *Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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04 07 60739	<b><i>Commissioning and Balancing Reports</i></b> Provides a record of functional testing and commissioning of building components and systems. Reports received prior to 1 January 2004 will be maintained as hardcopy. Reports received after 1 January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	OPR
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90 7 46363r1R1	<b><i>Computer Assisted Drawings (CAD)</i></b> Provides digital engineering drawings of buildings, utilities, surface features, etc.	Retain for 1 Year after Building Demolished	OFM
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90 7 46359r1.R1	<b><i>Construction Permits Prior to 1993</i></b> Provides record of construction permits granted by the City of Seattle. Facility Records only holds a small amount of permits for selected buildings on campus. After 1993, the responsibility for this record was transferred to RG# 08.10.00.	Retain for 6 Years after Building Demolished	OPR
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90 7 46352r1.R1	<b><i>Design Calculations</i></b> Provides a record of all design calculations used in the design and construction of University buildings and/or facilities. Records created prior to January 2004 will be maintained as hardcopy. Records created after January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 07 60740	<b><i>Engineering Reports</i></b> Provides a record of the engineering reports for the construction of University buildings and facilities. Reports created prior to January 2004 will be maintained as hardcopy. Reports created after January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	Archival OPR
04 09 60771	<b><i>Facility Drawings/Plans - Aperture Cards</i></b> Aperture card format of facility drawings and plans.	Retain for 6 Years after Building Demolished	OFM
04 09 60772	<b><i>Maintenance Manuals</i></b> Manuals submitted by vendors regarding maintenance requirements, specifications, etc. on equipment and other movable parts installed in UW buildings/facilities. Manuals received prior to January 2004 will be maintained as hardcopy. Manuals received after January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	OPR
90 7 46358r1.R1	<b><i>Occupancy Permits - Prior to 1993</i></b> Provides record of occupancy permits for rooms and buildings located on the UW campus, properties, or leased buildings. Facility Records only holds a small amount of permits for selected buildings on campus. After 1993 the responsibility of this record was transferred to RG# 08.10.00 -Capital Projects: Construction.	Retain for 6 Years after Building Demolished	OPR
04 07 60741	<b><i>Project Specifications/Manuals</i></b> Provides a record of specifications for projects on UW buildings and facilities. Records created prior to January 2004 will be maintained as hardcopy. Records created after January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 7 46361r1.R1	<b><i>Refusal and Transmittal Letters</i></b> Provides a record of letters accompanying manuals, drawings, specs, etc. received by Facility Records and correspondence mailed to contractors regarding the University's refusal to accept proposed project plans, manuals, spec. etc. May include information on when items were received or sent, who received or sent, and reason why item was refused.	Retain for 6 Years after Final Documentation Received from Consultant	OFM
04 07 60742	<b><i>Shop Drawings</i></b> Provides a record of parts and components produced off-site before delivery to construction site. Records will be microfilmed and the hard copy will be destroyed.	Retain for 6 Years after Building Demolished	OPR
90 7 46356r1.R1	<b><i>Soil Reports</i></b> Provides a record of soil tests taken at a site. Includes sample, lab report, methodology used to gather sample, methodology used during testing, etc. Records created prior to January 2004 will be maintained as hardcopy. Records created after January 2004 will be microfilmed and the hardcopy will be destroyed.	Retain for 6 Years after Building Demolished	Archival OPR
90 7 46362r1.R1	<b><i>University Campus Photographs</i></b> Provides a photographic record of the campus and buildings. Photographs consist of aerials, obliques, and normal angle shots. Negatives and construction photographs are also included as part of this series.	Retain for 6 Years after End of Calendar Year	Archival OPR

## **/08/09/04/ Facilities Services: Campus Engineering**

### *Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61945	<b><i>Accessibility Barrier Reports</i></b> This series provides a record of comments submitted by faculty, staff, students, or the public regarding access around the campus. A copy of the report may be submitted to Facility Services. Email correspondence may also be included.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51633	<b><i>Building and Property Files (B&amp;P Files)</i></b> This series provides a record of asset specific documents. These documents may include field reports, deferred maintenance issues, renewal programs, technical information, all documents related to a particular asset, etc.	Retain for 6 Years after Building Demolished	Potentially Archival OPR
93 01 51844r2R2	<b><i>Capital Construction Project (CCP) Files - Review and Comment</i></b> This series provides a record of documents relating to the design, construction, start-up, and warranty of new and renovated facilities and systems sent to Campus Engineering for review and comment. May include design specifications, review comments, studies, reports, engineering calculations, cost estimates, design meeting minutes, site observation reports, and other project correspondence.	Retain until Warranty Expired	OFM
10 06 62226	<b><i>Preservation, Renovation, and Modernization (PRAM) Files</i></b> This series provides a record of documents used as a resource in the planning and budgeting process for the preservation, renovation, and maintenance of UW Buildings for facilities management. May include Facman Reports, renewal programs, building audit information, biennium budgets - actual and projected, major renovation planning, cost estimates, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OPR

## **/08/10/01/ Capital Projects: Design Services**

### *Capital Projects*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 12 43403r1.R2	<b><i>Design Services Project Files</i></b> Project files track the development of the design work portion of Capital Projects and Facilities Alterations projects. Design work can be for remodel or public works projects. Files may include but are not limited to: inspection reports, Application and Certificate for Payment on Contract, final cost estimate detail sheet, correspondence, form of proposal, drawings and specifications (copies).	Retain for 6 Years after Project Complete	Potentially Archival OPR

**/08/10/02/**

**Capital Projects: Accounting Project Management**

*Capital Projects*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44873r2R4	<b><i>Capital Projects Accounting Files</i></b> Provides financial documentation of construction, renovation, improvements or repairs for new or existing facilities at UW. May include: contracts, change orders, cabinet memos, pay requests, invoice register, authorizations to proceed, purchase and physical plant requisitions, work orders, project control sheets, budget revisions, budget establishments, account verifications, correspondence, modification proposals, Minority and Women's Business Enterprise Quarterly Reports, etc.	Retain for 10 Years after Project Complete/ Acceptance	Potentially Archival OPR

**/08/11/**

**Transportation Services: Commuter Services: Administration**

*Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44173 r2R1	<b><i>Campus Facilities Project Files (Blue Label)</i></b> Provides a record of any physical changes, major and minor, made to property managed or affiliated with Commuter Services. May include reports, correspondence, committee agenda/minutes, planning records, maintenance documentation, maps, bid documents, construction reports, plans, studies, etc.	Retain for 3 Years after Project Complete	Archival OFM

**/08/11/01/**

**Commuter Services: Accounting**

*Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44149r1R11	<b><i>Annual Financial Statements</i></b> Provides record of annual financial activity; audited and prepared by independent accounting firm.	Retain for 6 Years after Reporting Period	Archival OPR
89 4 44148	<b><i>Audit Working Papers</i></b> Provides record of department's revenue reconciliation summarization for the annual audit. Used to assist the outside auditors.	Retain for 5 Years after End of Fiscal Year	OFM
89 4 44154r3R13	<b><i>Cashiers Tapes</i></b> Provides a record of cash receipts by shift or end of day as counted by cashier in its entirety. May include deposit tapes, permit office and special events tapes, etc.	Retain for 2 Years after End of Fiscal Year	OFM
90 4 46131	<b><i>Coin Operated Lots Daily Report</i></b> Provides record of cash activity for coin operated lots. Backup documentation for bank deposit slips/cash transmittals.	Retain for 6 Years after End of Fiscal Year	OPR
94 12 54843r1R11	<b><i>Miscellaneous Reports/Documents</i></b> Provides a record of reports or documents created for statistical studies, to monitor special programs, or to identify areas of revenue. Used for management review and analysis. May include reports regarding key cards, sales tax, deposits, etc.	Retain for 4 Years after End of Fiscal Year	OFM
90 9 46681r1R13	<b><i>Parking Office: Payroll Reports</i></b> Reports run by Parking Services which list all employees who receive automatic payroll deductions or who need adjustments made to their account. The reports lists employees as well as the type(s) of service and amount deducted during the pay period. May include Payroll Deduction Audit and One-Time Deduction reports.	Retain for 6 Years after End of Fiscal Year	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 02 60647r1R13	<b><i>Payroll Office: Payroll Reports</i></b> Reports run by Payroll and sent to Parking Services which list deduction details for each employee receiving deductions. Used by Parking Services to verify employee payroll status. Includes Payroll Detail Deduction Report, Deduction Exception Report, etc.	Retain for 1 Year after End of Fiscal Year	OFM
89 8 44702r1R11	<b><i>Returned Gate Parking Permits</i></b> Provides a record of refunded permits. Used primarily for reconciliation.	Retain for 3 Months after Fiscal Year + Audit	OFM
89 4 44152r2R13	<b><i>Sales Reports</i></b> Provides record of cash received and sales by individual. Includes reconciliation, cashiers tape, and deposit. May include Operations Report, Special Events Report, Permit Office Reconciliation Report, Parking Violations Daily Deposit, etc.	Retain for 6 Years after End of Fiscal Year	OPR
90 4 46129r2R13	<b><i>Voided Permits</i></b> Provides record of permits returned to Permit Issuance Office for refund; specifically annual, quarterly, U-Passes, or short term permits.	Retain for 1 Year after Fiscal Year + Audit	OFM

## **/08/11/02/ Commuter Services: Transportation Systems**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44775r1.R6	<b><i>Consultant Files</i></b> Provide record of consultants hired for various transportation projects. May include consultant qualifications, specifications, correspondence, notes, reports, etc.	Retain for 6 Years after Termination of Contract	Potentially Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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92 12 51630	<b><i>Student Accounts U-Pass Petitions</i></b> Provide record of student requests for a waiver of the U-Pass transportation fee. Forms include signed statement of reason for request, and Transportation Office approval or denial of request.	Retain for 6 Years after End of Academic Year	OPR
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96 01 56402r2.R7	<b><i>Transit Comment File</i></b> Provide a record of complaints, suggestions or problems offered by UW patrons of contracted transit agencies. A copy is forwarded to the contracted transit agencies for response. The Transportation Systems office then forwards any response to the person commenting. All correspondence is completed via email.	Retain for 6 Months after End of Quarter	OFM
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89 9 44777r3.R7	<b><i>Vanpool Monthly Reports</i></b> Monthly reports compiled by vanpool drivers regarding the number of people in the vanpool, payments made to Metro by individual passengers, number of miles driven, etc. Information from reports is summarized into a monthly recap of vanpool information for all vanpools.	Retain for 2 Years after End of Fiscal Year	OFM
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## **/08/11/03/ Commuter Services: Maintenance**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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10 04 62131	<b><i>Preventative Maintenance Plans</i></b> This series is used to determine when preventative maintenance is needed in parking lots under the responsibility of Commuter Services, such as restriping, asphalt laying, etc.	Retain for 3 Years after Superseded	OFM
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## /08/11/06/ Commuter Services: Operations

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44179r2R1	<b>Daily Lot Count</b> Daily tracking device to determine empty spaces in each parking lot. Used for parking needs' projections. This information is now electronic.	Retain for 3 Years after End of Fiscal Year	OFM
03 12 60634	<b>Daily Shift Log</b> Tracks employee schedules on a daily basis. Includes daily gate assignment, money bag assignment, shift worked, type of leave taken, etc. Does not include special events scheduling.	Retain for 6 Years after End of Fiscal Year	OPR
10 02 62199	<b>Do Not Ticket Files</b> Requests from the UW Police or individuals to not ticket their vehicles for a variety of reasons, such as vehicle inoperable, etc. Includes the individual's name, location of vehicle, license plate information, etc.	Retain for 1 Year after End of Calendar Year	OFM
11 10 62850	<b>Parking Ticket Transfer Reports</b> This series provides a record of the reconciliation of the machine-written tickets issued each day in order to catch user or computer errors before the information is downloaded into the Parking Violations database.	Retain for 1 Year after End of Month	OFM

## /08/11/07/ Commuter Services: Permits

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 9 46680r2R4	<b><i>Annual Renewal Letters</i></b> Provides notification to the Parking Division that an annual permit holder wishes to renew their parking permit for the coming year. Also specifies any changes needed for the permit. Similar to an application card.	Retain for 6 Years after End of Fiscal Year	OFM
00 07 59822	<b><i>Construction Parking</i></b> Provides a record of parking accommodations made for each construction project on campus. Includes Contractor Parking Authorization Form, log by permit number, record of free permits issued, questioner, site maps, correspondence, copies of permit issuance cards, etc.	Retain for 6 Years after Construction Project Complete	OPR
03 12 60632	<b><i>Credit Card Request Forms</i></b> Forms filled out by university departments/offices requesting special credit cards that can be used for parking on campus and charged to departmental budgets.	Retain for 6 Years after End of Fiscal Year	OPR
03 12 60630r1R4	<b><i>Departmental Budget Letters</i></b> Departmental requests for parking permits. Includes receipts and budget numbers.	Retain for 6 Years after End of Fiscal Year	OPR
03 12 60631	<b><i>Departmental Out of Area Permit Request Letters</i></b> Departmental requests for a parking permit that allows short term parking in lots other than the one assigned to the department. Includes receipts and budget numbers.	Retain for 6 Years after End of Fiscal Year	OPR
89 4 44170 r2R2	<b><i>Disability Parking Request (UoW 1224)</i></b> Comprised of administrative copies of applications/health care provider statement requesting use of disability parking/transportation.	Retain for 2 Years after End of Fiscal Year	OFM
89 4 44164 r2R2	<b><i>Key Card Record (UoW 1226)</i></b> Provides record of individual key card holder. Used for deposit or refund validation.	Retain for 6 Years after Key Returned	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 07 59824	<b><i>Lot Counts</i></b> Documents number of empty spaces in parking lots. Used for statistical purposes.	Retain for 2 Years after End of Fiscal Year	OFM
89 4 44158r3R4	<b><i>Parking Permit Application (Blue) (UofW 1829)</i></b> Provides application record to receive a UW permit to park on campus on either a quarterly or yearly basis. Includes construction applications. Also contains Allocation Authorization Letters.	Retain for 6 Years after End of Fiscal Year	OPR
89 4 44162r3R4	<b><i>Payroll Deduction Approvals</i></b> Authorizes monthly payroll deductions and/or termination of deductions for employee's annual parking permit, carpool parking permit, commuter ticket and/or UPASS. Also includes a record of reported lost or stolen permits.	Retain for 6 Years after End of Fiscal Year	OPR
93 10 53190 Rev. 1	<b><i>President's Club Parking Ticket Applications</i></b> Provides application record to receive UW President's Club Parking Ticket.	Retain for 6 Years after End of Fiscal Year	OPR
00 07 59826	<b><i>Summer Conference--Short Term Special Permit</i></b> Documents blocks of parking permits that are for sale to attendees of various summer conferences held at the University. Includes list of permits issued (price and name of permit holder), and list of permits that are not sold and returned unused.	Retain for 6 Years after End of Fiscal Year	OFM
00 07 59827	<b><i>Temporary Permits</i></b> Log which provides a record of temporary permits issued to individuals who have already paid for their parking permit. Usually issued in conjunction with a lot reassignment.	Retain for 6 Years after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 10 53194r3R3	<b><i>Termination Letter</i></b> Correspondence sent to individuals who have left University employment or who have taken a leave of absence and have not turned in their UPASS/Parking Permit/Key Card. Used to document contact and track return of pass/permit/card. Includes social security number.	Retain for 6 Years after End of Fiscal Year	OPR
93 10 53195r2R4	<b><i>U-Pass Application Forms (White Copy 1011)</i></b> Provides an application record to receive a U-Pass on a quarterly/annual basis.	Retain for 6 Years after End of Fiscal Year	OPR
00 07 59828r1R3	<b><i>Validation Coupon Request and Pick-Up Receipts</i></b> Provides a record of monies returned to those who turned in old Department Commuter Tickets. Includes validation coupon forms, and signed pick-up receipt.	Retain for 6 Years after Sept 30 after end of fiscal year	OPR
93 10 53191 r3R3	<b><i>Waiting List Files</i></b> Computer-generated list providing a record of applicants offered a space in a specific parking lot. Includes name, social security number, and lot title. Also includes the initial application and confirmation letters sent to employees upon parking lot assignment.	Retain for 6 Years after End of Fiscal Year	OPR

## **/08/11/08/ Commuter Services: Special Events**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 06 61545	<b><i>Operational Analysis - Football/Basketball Season</i></b> This series provides a recap of how the Special Events office handled the parking during the football or basketball season. May include post-season reports, summaries, staffing lists and notes, operational details, financial reports, etc.	Retain for 6 Years after End of Season	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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07 06 61544

***Special Events and Arranged Parking Request Forms***

This series provides a record of UW or non-UW customers contacting the Special Events office to arrange parking and/or seek assistance with parking for campus events. Documentation on the campus event will be found in the Recurring or Single Event files.

Retain for 1 Year after  
End of Fiscal Year

OFM

**/08/11/09/**

**Commuter Services: Parking Violations**

*Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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00 05 59694r2R2

***Appeal Records***

Provides a record of 1st and 2nd level oral or written hearings requested by those appealing a parking citation or an impound. May include Hearing Dockets, Oral Statement Form/Parking Citation Petition Appeal Form, evidence submitted by the appellant, Parking Court Docket, Notice of Fines Due, and hearing judgment.

Retain for 6 Years after  
Case Closed

OPR

07 08 61598

***Citation Dismissal Requests***

This series provides a record of formal requests from Commuter Services to Parking Violations, requesting the dismissal or fine reduction of parking citations. May include correspondence with Parking Violations.

Retain for 1 Year after  
End of Calendar Year

OFM

00 05 59708r2R2

***Client Advisory Service (CAS)***

Documents open parking citation cases which have not been settled through payment final appeal, or dismissal. Includes DOL information on the driver and vehicle and correspondence.

Retain for 6 Years after  
Case Settled

OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 05 59689r1R2	<b><i>Default Notice</i></b> This series provides a record of copies of letters sent to individuals who have not responded to tickets by default response date, Provides the individual with notification of the date the ticket will default and be turned over to a collection agency. Also informs individual that once ticket defaults their car will be subject to impound. Includes list of tickets incurred by individual as well as the default date for each ticket. Also known as Default Judgment. As of August 2009, copies are no longer being generated.	Retain for 6 Years after End of Month	OPR
04 07 60746r1R2	<b><i>Dismissals</i></b> Provides a record of voided tickets. Tickets may be voided because of equipment malfunction, administrative error, officer error, exceptional case, court judgment. Voided tickets are reviewed and have approving signatures.	Retain for 6 Years after End of Calendar Year	OPR
07 08 61599	<b><i>Excessive Citation Notice/Reports</i></b> This series provides a record of letters generated to warn permit holders about possible revocation of permit rights due to excessive parking citations. Also includes letters generated to revoke permit rights and supporting citation history records (produced and provided by Parking Violations) that serve as back-up documentation.	Retain for 6 Years after End of Calendar Year	OPR
00 05 59699r1R0	<b><i>Impound Packet</i></b> This series provides a record of impounds. These packets may include release from the towing company vendor, citation issues, registered owner printout, internal correspondence, etc.	Retain for 6 Years after Case Closed	OPR
08 04 61791r1R2	<b><i>License Plate Correction Files</i></b> This series provides a record of backup documentation to corrections of citations where the license plate information was entered incorrectly into the Parking Violations Database. Includes photo of plate, date of correction, ticket information, evidence files, etc.	Retain for 6 Years after End of Calendar Year	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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00 MM 59707r1R2	<b><i>Parking Violations Database</i></b> Database record of parking citations issued, appeals, and fines. Citations may be uploaded directly into the database or may be handwritten and data entered. This series also includes older citations which have not been entered into the database. Includes ticket number, time, location, officer, etc. Can be used to reproduce citations.	Retain for 6 Years after End of Month	OPR
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08 03 61794r1R2	<b><i>Rental Vehicle Correspondence Files - Citation Unpaid</i></b> This series provides a record of correspondence between UW Parking Violations and rental car agencies in determining who will pay for the parking violation incurred on the UW campus.	Retain for 6 Years after Determined Uncollectable	OPR
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08 04 61792r1R2	<b><i>Report of Sale/New Owner Correction Files</i></b> This series provides a record of backup documentation to corrections of citations where the registered owner information has been updated within the Parking Violations Database. Includes copy of vehicle certificate of ownership, vehicle report of sale receipt, etc.	Retain for 6 Years after End of Calendar Year	OPR
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## **/08/12/01/ Transportation Services: Fleet Services & Maintenance**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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10 04 62149	<b><i>Annual Security and Fire Alarm Inspection Report</i></b> This series provides a record of ADT's annual inspection report of Fleet Services.	Retain for 3 Years after End of Fiscal Year	OFM
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10 04 62145	<b><i>Annual Vehicle Utilization Records</i></b> This series provides a record of the source documentation used to generate the Vehicle Utilization Report which is sent to Washington State Office of Financial Management annually. Includes Annual Vehicle Utilization Response forms, Utilization Review Response tracking spreadsheet and Waiver Request Letters, etc.	Retain for 6 Years after End of Fiscal Year	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 04 62146	<b><i>Fleet Services Citation Notice</i></b> A log of citations received by Fleet Services from the City of Seattle, UW Parking Violations, etc. involving Fleet Services vehicles. The citation notice is sent to the fleet client and/or Department.	Retain for 6 Years after End of Fiscal Year	OPR
99 04 59094	<b><i>Petrovend Fueling System - Transaction File</i></b> Fueling program used to track and monitor fueling transactions by vehicles using Fleet Services gas pumps. Transactions are stored by card number. Includes history of card number and total of all transactions of card. Transaction file is accumulated and downloaded into database on a weekly basis. Transaction file is erased after downloading.	Retain until Downloaded to Database	OFM
10 03 62118	<b><i>Underground Storage Tank Files</i></b> This series provides a record of UW's compliance with regulations regarding the installation, maintenance and use of underground tanks for storing hazardous materials. May include inspection logs, tank registration forms, training, repair records, etc. These records are not duplicates of what is held by EH&S: Environmental Programs Office, 34.05.03.	Retain for 6 Years after End of Calendar Year	Archival OPR
10 03 62119	<b><i>Van Training Confirmation</i></b> This series provides a record of UW employees who have completed the online 15 and 12-full size passenger van driver training. Required to be maintained as per State Administrative & Accounting Manual 12.60.40.e.	Retain for 2 Years after Training Completed	OFM
10 03 62117	<b><i>Vehicle Emissions Testing Log</i></b> This series provides a log of annual vehicle emission testing as per RCW 70.120. Includes vehicle status.	Retain for 3 Years after End of Calendar Year	OFM

## **/08/12/03/      Transportation Services: UW Shuttles**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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99 04 59085r1R0	<b><i>Dial-A-Ride/Shuttle Daily Schedules</i></b> Daily schedules for individual drivers of Disabled Persons Shuttle, Health Sciences Shuttle, etc. Includes notes on pick-ups (who, when, where, what), late arrivals, no-shows, time delays, etc. Information is entered into WHEELS and compiled into reports to identify possible route changes or new programs.	Retain for 1 Year after End of Fiscal Year	OFM
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## **/08/13/      Transportation Services: Administration**

### *Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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10 03 62120	<b><i>Reclassification Documents</i></b> This series provides a record of requests for, and correspondence related to, the reclassification (also known as reallocation) of a position to a different position when the position is currently unfilled.	Retain for 3 Years after Position Filled	OFM
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## **/08/15/      Creative+Communications**

### *Print and Web Design Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 02 45767 Rev. 1	<b>Cash Drawer Reconciliations, Copy Center Cash Reports and Coin-Op Copier Records</b> Cash Drawer reconciliation provides record of daily cash drawer reconciliations. Copy Center Cash Reports summarize actual cash brought in by each copy center. Coin-Op Copier Records provide record of revenue generated from coin-op copier machines. All filed together. May include: cash register tapes, reconciliation tapes, reconciliation sheets, void slips, "totals tapes," copy center deposit reports, deposit slips, etc.	Retain for 6 Years after End of Month	OPR
94 04 53644	<b>Copy Service Financial Reports</b> Documents cumulative monthly copy service financial activity. Includes Report of Cash Sales by Center, Cash Sales--Coin Op Machines, etc.	Retain for 6 Years after End of Month	OPR
94 04 53645	<b>Copy Service Reports</b> Provides a cumulative record of monthly copy service activity. Reports may include Copy Services Volumes, Document Production Center Volumes, Copy Center Volume by Machine Type.	Retain for 3 Years after End of Month	Potentially Archival OFM
90 02 45769r2R13	<b>Copy Services Machine Reports</b> Documents monthly beginning and ending meter readings, service agreements, machine usage and monthly machine payments.	Retain for 6 Years after End of Month	OPR
90 02 45782 Rev.1	<b>Financial Statement Detail Worksheets</b> Functions as the General Ledger Detail backup. Includes inventory valuation, copy machine accruals, revenue breakdowns, and Office Depot expense summary. Produced monthly.	Retain for 6 Years after End of Month	OPR
90 02 45760 Rev. 1	<b>Request for Printing (UoW 1209)</b> Provides departmental request for a printing job.	Retain for 6 Years after End of Month	OPR

/08/15/02/

## Creative+Communications: Mailing Services

### Mail Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 07 62272	<b>Mail System Tracking Database</b> This series documents the distribution of all registered and certified mail by Mailing Services to UW offices. Includes signature of person accepting delivery.	Retain for 6 Years after End of Calendar Year	OPR
10 07 62271	<b>Preventative Maintenance Schedules</b> This series provides a daily record of vehicle walkarounds by the drivers, noting any damage to the vehicle.	Retain for 2 Years after Weekly	OFM
10 07 62273	<b>Registered/Certified Mail Receipts</b> This series documents the receipt of all registered and certified mail from the US Postal Service and/or documents the delivery of all registered and certified mail to the US Postal Service.	Retain for 6 Years after End of Calendar Year	OPR
10 07 62270	<b>Route &amp; Driver Schedules</b> This series provides a daily record of a driver's schedule and delivery route.	Retain for 3 Years after Daily	OFM
10 07 62269	<b>UW Tower Logs</b> This series provides a daily record of vehicles, incoming receivables, etc. which enter the UW Tower through the loading dock. Also used for productivity measures.	Retain for 3 Years after End of Calendar Year	OFM

## 09

## Sr. Vice President for Finance and Facilities

*Procurement Services, Grant and Contract Accounting, Travel, Office of the Controller, Payroll, Equipment Inventory, Accounting, Student Fiscal Services, Tax, Office of the Treasurer, Audit, Business Diversity, Records Management, and Strategy Management*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 08 60135	<b><i>Account Reconciliation Reports</i></b> Provides a record of reports extracted from FAS (database) for use in reconciliation of various accounts. Used internally for tracing problems and for research. Includes Accounts Payable Details Reports. (See DAN 90-7-46417 for source documents.)	Retain for 2 Years after End of Biennium	OFM
13 09 68451	<b><i>Cancelled Bids</i></b> Bid documentation received through a solicitation that was cancelled before the response due date. Includes vendor correspondence received prior to the cancellation as well as correspondence describing the cause of the cancellation. Does not include unopened bids. (Unopened bids are returned to the vendor.)	Retain for 1 Year after Bid Process Cancelled	OPR
01 08 60136	<b><i>Cash Transmittal (TC/30) (UW 30-82, UW 1394, copy 1)</i></b> Source Document used to credit departmental budgets when cash and checks are either deposited by Student Accounts: Cashier's Office, or deposited directly to the bank by UW offices.	Retain for 6 Years after End of Month	OPR
93 05 52286r1R20	<b><i>Daily Input Control Logs (IA, IB, IC, ID, etc.)</i></b> Provides record of batches of transactions processed. Includes for each batch: date processed, batch number, number of transactions, and remarks or discount amount, use tax amount, net invoice amount, warrant register number, etc. Includes for each batch: total dollar amount for the batch, accepted dollar amount for the batch, and rejected dollar amount for the batch. Used to reconcile batch amount totals with FAS Batch Control Reports (AM11409-001.)	Retain for 2 Years after End of Biennium	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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01 08 60146

***Vendor Control Correspondence***

Provides a record of vendor status at the University. Includes payment information and tax identification number.

Retain for 1 Year after  
Superseded

OFM

**/09/02/**

**Grant and Contract Accounting**

*Accounting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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97 09 58066

***Interest Report***

Annual report of interest amounts distributed to gift and certain grant accounts which summarize multiple budgets.

Retain for 6 Years after  
End of Fiscal Year

OFM

**/09/03/**

**Office of the Controller**

*Administration-Controller*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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99 11 59378

***Annual Reports***

Documents the annual report process at the University. Includes reports which are used as source documents for 5 year studies.

Retain for 6 Years after  
End of Calendar Year

OFM

**/09/04/**

**Records Management Services**

*Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 8 46563r2R4	<b><i>Accession and Disposal Register</i></b> Register is used to assign unique accession and disposal numbers to incoming departmental requests for storage or shredding of records. Also used to track storage and disposal at the UW Records Center. Includes office name, record group number, Accession/Disposal/Uncertified Disposition (UCD) number, and cubic feet. May also include Pickup Log information.	Retain for 6 Years after End of Calendar Year	OPR
90 8 46561r1.R2	<b><i>Accession Packets</i></b> Packets provide inventory of records accessioned into the UW Records Center from UW departments and are used to track records in storage for each office. Includes Records Transfer Inventory Form (RTI) - the official form used to request storage of boxes, and Accession Confirmation Report - a database generated listing of records from RTI with the corresponding UW Records Center box location codes. Once all boxes included on the RTI are disposed of the Accession Packet is merged with the Complete Disposal Packet.	Retain until Disposal of Last Record	OFM
90 8 46570r1.R2	<b><i>Complete Disposal Packets</i></b> Provides a record of the disposition of all boxes from an accession. Boxes may be destroyed, transferred to the UW Archives or returned to the originating department, either at their request or if they did not respond to Disposition Control Forms. Files consist of Accession Packet, Disposition Control Forms - authorization from UW offices to dispose of boxes which have passed their retention, Disposition Confirmations - consisting of date and control number assigned when boxes were destroyed and Pick-Up/Delivery forms for records being delivered back to the office.	Retain for 6 Years after Last Record Disposed of	OPR
90 8 46571r2R4	<b><i>Disposition Notification Log</i></b> Log of Disposition Notification Forms sent to UW departments for signature(s) authorizing the disposition of boxes at the end of their retention. Indicates number of boxes to be disposed of from each record group, and total number of boxes to be destroyed. Used to track date forms were sent, returned, and which departments have yet to respond.	Retain for 1 Year after End of Calendar Year	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 8 46569r2R4	<b><i>Disposition Review Records</i></b> This series provides a record of the paperwork created during the disposal review process, such as the reviewed pull copies containing notes made by RM staff, and the database printout showing the offices containing records eligible for disposition.	Retain for 1 Year after End of Calendar Year	OFM
90 8 46577r2R4	<b><i>File and Box Retrieval Requests</i></b> This series provides a record of database printouts of files and boxes that are requested on a given day. Includes the name of the person pulling the file and any notes regarding the file.	Retain for 6 Months after Search Complete	OFM
00 03 59587	<b><i>File/Box Retrieval Request - Items Not Returned</i></b> UW Departmental requests for retrieval of records or boxes in storage at the UW Records Center. Includes name of individual, department, box location code, file indicator, UW Records Center notes as to how many files were pulled/found, initials of individual completing request, and date. This series applies specifically to retrieval requests where items have not been returned.	Retain for 4 Years after Date of Request	OFM
09 01 61899	<b><i>Records Management Database</i></b> This database tracks all the functions of the Records Management Services office, including retention scheduling, file retrievals, box storage and destruction, department information, such as Records Authority and Coordinator, last contact, etc.	Retain for 6 Years after End of Calendar Year	OPR
88 9 42814r1R2	<b><i>Records Retention Schedules Working Files</i></b> Working files for retention scheduling projects, either departmental or for the UW General Records Retention Schedule. Reference material which provides background regarding the project or department for future questions or revisions of retention schedules. Files may include, but are not limited to: notes from surveys of offices, correspondence, drafts of schedules (with edits), and legal research information.	Retain for 5 Years after Schedule Revised	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59145	<b><i>Shredding Pick-Up Requests</i></b> UW Departmental requests for the shredding of confidential records held in their offices which have passed their retention periods and are not considered archival. For those departments requesting certified destruction, a "Certificate of Destruction" is attached to the shredding request. Form includes name, department, record group number, pick-up number, UCD number, type of records to be shredded, date, and Disposition Authorization Number. Request is signed by office when released to UW Records Center staff and is dated and initialed by individuals picking up boxes.	Retain for 6 Years after End of Calendar Year	OFM
99 06 59146	<b><i>Shredding/Recycling Log Sheets</i></b> Daily log is used to track boxes which have been disposed of either by shredding or recycling. Includes number of boxes disposed of for each record group, accession number/UCD number assigned to boxes and date recycled or shredded.	Retain for 6 Years after End of Calendar Year	OPR
90 8 46572r1.R2	<b><i>URC Guest Register</i></b> Log tracks all visitors entering the UW Records Center for retrieval, refiles or inspection of files or boxes in storage. Includes date, name, and department.	Retain for 3 Years after End of Calendar Year	OFM
90 8 46582r1.R2	<b><i>Van Use Log</i></b> Tracks trips made by UW Records Center and UW Archives staff using the UW Records Center van. Includes date, unit (UWRC or UW Archives), destination, cubic feet transporting, time in/out, mileage in/out, and total time/mileage.	Retain for 3 Years after End of Calendar Year	OFM
99 06 59147r1R4	<b><i>Voided Records Storage Request Forms</i></b> Records Transfer Inventory forms that have been voided for various reasons (i.e. department cancelled, materials not confidential for shredding, materials past retention/not eligible for storage). Includes notes from UW Records Management Services regarding why cancelled.	Retain for 1 Year after End of Calendar Year	OFM

**/09/06/****Travel Office***Travel*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 09 62100	<b><i>E-Travel database</i></b> This series provides a record of travel-related expenses incurred on UW-related business or projects. Includes scanned receipts.	Retain for 6 Years after Account Paid	OPR

**/09/07/****Payroll***Payroll*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 06 62230	<b><i>Annual Attendance Incentive Program</i></b> This series provides a record of the authorized payment of an employee's eligible sick leave hours for payout at 25% value (if the employee chooses to participate and meets the program requirements). The form includes employee sick leave information, budget(s) and percentage(s) for payout as well as employee and departmental signatures.	Retain for 6 Years after End of Calendar Year	OPR
06 07 61228r1R22	<b><i>Batches (ETR/PTR, RA)</i></b> This series is comprised of screen prints taken from payroll databases and is used internally as a quick reference for entries made into the payroll system for payment or payroll adjustments. Includes notes regarding changes to database entries.	Retain for 6 Years after Payroll Cycle	OPR
95 06 55551r1R19	<b><i>Check and Warrant Transmittal</i></b> An in-house worksheet which provides a working list of type of check processed, check numbers used, number of checks received by the Payroll Office, and problems in the printing of the checks.	Retain for 1 Year after End of Biennium	OFR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 6 42501r1R22	<b><i>Direct Deposit Authorization ( UoW 1376)</i></b> An authorization form submitted electronically and in hardcopy to Payroll by employees requesting their wage payments be deposited directly to a specified bank account.	Retain for 6 Months after Payroll Cycle	OFM
10 06 62227	<b><i>Employee Separation Payment Authorization Forms</i></b> This series provides a record of the authorized payment of an employee's unused annual leave and unused compensatory time at the time of separation from the University and also the authorized payment of sick leave at retirement. Includes employee information and departmental signature(s).	Retain for 6 Years after End of Calendar Year	OPR
95 07 55563r1R19	<b><i>Employment Security Department Charges</i></b> Provides a record of unemployment compensation benefit charges made to the University by State Employment Security Department. Includes balance, previous payments, total amount due. Includes the electronic report, issued by the Washington State Employment Security Department of employees who are eligible for unemployment. Used to determine the University's liability. The report includes employee's name, social security number, and base quarterly earnings.	Retain for 6 Years after End of Calendar Year	OPR
89 9 44783 Rev. 1	<b><i>Exception Time Report (ETR)</i></b> Provides electronic record of changes made in hours worked for staff, faculty, and exempt permanent personnel. Includes leave without pay, overtime, shift differential,	Retain for 6 Years after End of Month	OPR
97 09 58087r1R21	<b><i>I-9 Forms</i></b> Provides a record of verification of eligibility of employees for work in the United States. Required as per 8 CFR 274a.2.	Retain for 50 Years after Termination of Employment	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55557r1R21	<b><i>Labor and Industry Report</i></b> Statistical quarterly report issued to the State Office of Financial Management. Documents total number of hours worked by all University employees and volunteers. Used to determine workmen's compensation insurance premiums. See WAC 296-17-35201 for retention requirements.	Retain for 3 Years after End of Calendar Year	OPR
10 06 62233	<b><i>OPUS (Online Payroll Updating System)</i></b> Provides a record of the UW online payroll system which allows a department to create/update payroll information on a new or existing employee. OPUS allows a department to make updates instantaneously and eliminates the need for a central office (Payroll) to enter payroll changes. These updates and payroll changes include initial hires/rehires, distribution, budget number changes, leave of absences and separations. The system houses an employee's Payroll records; current and historical.	Retain for 50 Years after End of Fiscal Year	OPR
99 01 58991	<b><i>Overpayments and Documentation</i></b> Provides a record of salary overpayments and repayments. Includes authorization forms for overpayments, and supporting documents.	Retain for 6 Years after End of Calendar Year	OPR
98 11 58940r1R22	<b><i>Payroll Input Register</i></b> Concise summary, by employee, of all data entry per payroll cycle. Used for bank reconciliation. (The same information also appears in more detailed form on the employee's check/advice and on the Payroll Audit Report [50 years].)	Retain for 1 Year after Payroll Cycle	OFM
89 9 44782 Rev. 1	<b><i>Positive Time Report (PTR)</i></b> Provides electronic record of hours worked by hourly staff and student employees.	Retain for 6 Years after End of Month	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55560	<b><i>Retroactive Salary Transfer</i></b> Form which is used to request and provide a record of adjustments to an individual's salary record. Used with both state and grant and contract budgets. May provide the only record of the transfer of funds from one budget to another. Includes transfers from suspense account. As of 12-2008, this activity is processed on My Financial Desktop.	Retain for 6 Years after End of Fiscal Year	OPR
06 07 61224	<b><i>Returned/Voided Check Log</i></b> A log that provides a record of issued payroll checks that are returned to the Payroll Office and tracks the returned checks as they are processed. Checks are returned if the employee cannot be found. The official record is the Cancelled Check record series.	Retain for 2 Years after End of Fiscal Year	OFM
10 06 62228	<b><i>Shared Leave Documentation</i></b> This series provides a record of the transfer of leave between individuals at the UW or other state agencies. Includes approval from the agency's Human Resources office and supporting documentation of the transfer of money between budgets.	Retain for 6 Years after End of Fiscal Year	OPR
98 11 58938	<b><i>Sick Leave Buy Back</i></b> Documents employee payment to buy back sick leave. (Employees who have used all their sick leave due to injury may buy back sick leave once they have returned to work.)	Retain for 6 Years after End of Calendar Year	OPR
86 5 36533r1R21	<b><i>Sign Out Log -- Payroll Pickup</i></b> Provides a record of authorized personnel who have picked up payroll checks for their departments.	Retain for 6 Months after End of Fiscal Year	OFM
10 06 62229	<b><i>Social Security Audit Documentation</i></b> This series provides a record of corrections made to an employee's social security number within the Payroll database.	Retain for 6 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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95 07 55565	<b>W2 Forms (Annual Earnings Statement)</b> This record, available electronically, summarizes annual earnings for all employees, and is created for tax purposes. Arranged by payroll distribution codes.	Retain for 6 Years after End of Calendar Year	OFM
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97 09 58086	<b>W-4 Forms</b> Provides a record of employee withholding and tax status. (Required as per 26 CFR 31.3402 (f)(2)-1) and (Circular E), Employer's Tax Guide).	Retain for 6 Years after Termination of Employment or Superseded	OPR
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## **/09/09/ Equipment Inventory Office**

### *Asset Management*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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88 4 42091r2.R3	<b>Award Files</b> Provides a record of correspondence and reporting regarding the status of equipment purchased as part of an award. May include: correspondence, closing reports, annual reports, final equipment reports, copies of grant and contract documents, Federal Property Management Reports, etc.	Retain for 6 Years after Life of Equipment	OPR
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10 01 62182	<b>Final Equipment Closing Reports for Grants/Contracts</b> Provides a record of Equipment Closing Reports submitted to various federal agencies who are sponsors of Grants/Contracts received by the UW. These are the final reports detailing equipment status submitted at the close of a study. See OMB Circular A-110 (b) (2) for retention requirements.	Retain for 3 Years after Final Disposition of Equipment	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42079r1R4	<b><i>Faculty Effort Certification</i></b> Documents certification by research faculty that their payroll distributions are a reasonable reflection of their actual effort. Also provides a record of mandatory, committed, and capped cost sharing actually provided by research principle investigators on their grants and contracts.	Retain for 6 Years after End of Fiscal Year	OPR
87 7 40435r2.R4	<b><i>Indirect Cost Study and Proposal</i></b> A summary of information compiled according to guidelines set by the Federal Office of Management and Budget. Used to determine indirect cost rates charged to Grant and Contract budgets to cover depreciation, maintenance, administrative, and library costs.	Retain for 10 Years after Last Year of Current Rate	Archival OPR
87 7 40437r2.R4	<b><i>Indirect Cost Study Supporting Documentation</i></b> Provides background data which will be synthesized into and used to prepare the Indirect Cost Study Proposal. May include surveys--library, space, staff; library studies; grant and contract payroll reports; space inventories; expense reports (AM40720-492 to AM40920-492); the 02 index (AM17349-S01); student guarantees; cost sharing reports; equipment inventories; FTE and payroll statistics; title and account code indices; restricted fund expenditure reports.	Retain for 10 Years after Last Year of Current Rate	OFM
07 04 61454	<b><i>Initial Approval of Cost Center Rates</i></b> Application material submitted by UW Offices seeking approval to become UW Cost Centers.	Retain for 6 Years after Approval Granted or Denied	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 7 40434 Rev. 1	<b><i>Rate Agreement/Colleges and Universities</i></b> Provides a record of indirect cost rates for Grant and Contract budgets. Established by negotiation between the University and the Department of Human and Health Services, Division of Cost Allocation.	Retain for 10 Years after Last Year of Current Rate	Potentially Archival OPR

**/09/11/**

## **Student Fiscal Services**

### *Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45532r2R12	<b><i>Affordable Tuition Now (ATN)</i></b> Provides a quarterly list of optional fee contributions.	Retain for 1 Year after End of Fiscal Year	OFM
90 01 45476r1R12	<b><i>Aged Receivables/Student Name (SA70155-M)</i></b> Arranged by student name, provides a list of aged receivables debit and credit balance accounts.	Retain for 2 Years after End of Quarter	OFM
96 02 56488	<b><i>Annual Loan Fund Report</i></b> Summarizes annual financial activity for all student loan programs.	Retain for 3 Years after End of Fiscal Year	Archival OFM
96 02 56486	<b><i>Annual Operating Reports- Public Health Service</i></b> Prepared annually by the Student Loans Office, summarizes the financial activity for student loans funded by DHHS.	Retain for 5 Years after End of Fiscal Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 02 56487	<b><i>Annual Reports- Department of Education Funded Loans</i></b> Documents working papers used to compile this annual report which summarizes financial activity for student loans funded by the Perkins and/or FISAP federal programs through the Department of Education. Report is submitted electronically by the Financial Aid Office. (Source documentation maintained on the Student Accounts System by the Financial Aid Office.)	Retain for 3 Years after End of Fiscal Year	OFM
90 01 45492r2R12	<b><i>Armored Transport Slips</i></b> Provides verification of currency and checks sent to the bank by way of Armored Transit. Also includes second copy of deposit slip (see Bank Records on the University General Schedule for original copy) and money bag slip.	Retain for 1 Year after End of Fiscal Year	OFM
89 10 45085	<b><i>Audit Report Summary</i></b> A summary of audit findings for any of the following types of audits: Federal, State, Internal UW, specific program compliance, etc.	Retain for 5 Years after End of Fiscal Year	OFM
89 10 45084	<b><i>Audit Review and Report- Working Papers</i></b> A record of audit reconciliations of loans for federal audit.	Retain for 5 Years after End of Fiscal Year	OFM
07 06 61540	<b><i>Automated Clearinghouse (ACH) Deposit Reports</i></b> Record of student financial aid deposits made directly into student bank accounts.	Retain for 6 Years after End of Quarter	OPR
90 01 45471r2R12	<b><i>Bank Lock Box Check Images (CDROM)</i></b> Provides a record of how payments were made, which student number was credited, and how much was paid. List is generated by bank from Lock Box Deposit.	Retain for 6 Years after End of Quarter	OPR
90 01 45467r2R12	<b><i>Bank Lock Box Tuition Payments Processed (SA30205-D-04)</i></b> Provides a record of daily tuition payments processed by Lock Box	Retain for 1 Year after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45466r2R12	<b><i>Bank Lock Box Tuition Payments Received (SA30205-05-06)</i></b> Provides a record of daily printouts of transactions. Used to allow a means to check errors and make corrections as well as for reconciliations and balance distributions.	Retain for 1 Year after End of Fiscal Year	OFM
88 11 43121	<b><i>Bankruptcy Files</i></b> Provides record of debtors to the university who have declared bankruptcy. Used to determine collectability of debt. May include correspondence, worksheets, First Meeting of Creditors Notice (Schedule of Debt), memos, discharge orders, etc.	Retain for 6 Years after Dismissed or Discharged	OPR
96 02 56481	<b><i>Borrower's File- Direct Loan Program</i></b> Provides record of legal documents supporting individual student loans funded by the Direct Loan Program. Once loan disbursement is authorized, promissory notes are transferred to the custody of a central national servicer who becomes responsible for loan collection and maintenance.	Retain until Accepted By Servicer	OFM
90 01 45461r1.R12	<b><i>Check Disbursement Transactions (SA80405-D3) (TC-50)</i></b> Provides a check registry of Aid Check Disbursement.	Retain for 6 Years after End of Quarter	OPR
90 01 45524	<b><i>Collection Agency Referral</i></b> Provides a record of accounts sent to collection agency.	Retain for 6 Years after End of Fiscal Year	OFM
90 01 45468 Rev 1	<b><i>Control Reports and Process Summaries</i></b> Provides a daily summary of information entered into the computer by sequence, job number, time and date run. Provides a means to correct errors.	Retain for 1 Year after End of Month	OFM
90 01 45491	<b><i>Daily Cash Reconciliation (UW30-130,copy 2)</i></b> Provides a daily record of amounts (both currency and checks) sent to the bank. Verifies all money deposited each day.	Retain for 1 Year after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45475 Rev 1	<b>Daily Payment Transaction (SA70105DC-07, SA70105DC-09, SA70105DC-10)</b> Provides a detail of itemized payments, adjustments, returned checks.	Retain for 1 Year after End of Fiscal Year	OFM
07 06 61541	<b>Electronic Funds Wire Transfer Reports</b> Reports from the bank that are downloaded daily to show incoming deposits. Funds are then distributed to the appropriate UW budgets.	Retain for 6 Years after End of Quarter	OPR
90 01 45460r2.R12	<b>FAS Cash Receipt Transaction Reports (CT's) (SA80405-D1) (TC-30)</b> Provides a record of deposits of cash payments made by students and by the cashier.	Retain for 6 Years after End of Quarter	OPR
90 01 45497r2R12	<b>Financial Aid Reports (SA70105-R11) (SA70105-R14)</b> Provides monthly expenditure reports for all budgets pertaining to Financial Aid and Scholarships.	Retain for 2 Years after End of Fiscal Year	OFM
96 02 56483r1.R12	<b>Institutional Loan Reports</b> Issued monthly by Billing Servicer, this financial report documents monetary transactions by loan fund and includes accounts sent to collection agencies. Also used to trace borrower's payments and verify Outside Collection Agency Reports. Reports include balances outstanding, amounts collected, and inventory of borrowers names and can be in either hardcopy or CD ROM depending on report.	Retain for 3 Years after End of Fiscal Year	OFM
90 01 45514r1R12	<b>Insurance Report to Agency (SA70110)</b> Provides a list of enrollees in student health and accident plans.	Retain for 3 Years after End of Fiscal Year	OFM
96 10 57113r1R12	<b>Non-Resident Aliens Annual Tax Report</b> Report identifying non-resident aliens with taxable income. The report is submitted to the UW Payroll Office for final submission to the IRS.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45504r1.R12	<b>Overawards File - Financial Aid</b> Provides a record of amounts overawarded to student by Financial Aid. Alphabetical file by student name. Includes copy of overaward notice.	Retain for 6 Years after End of Quarter	OPR
90 01 45463r1R12	<b>Period Aid Check Summary Date/Fund (SA70105-R-05)</b> Provides a monthly report, arranged by charged budget, listing checks by fund and date.	Retain for 6 Years after End of Quarter	OPR
90 01 45462r1R12	<b>Period Check Register (SA70105-R-02, SA70105-R-04)</b> Provides a monthly list of checks disbursed by check number and by date.	Retain for 6 Years after End of Quarter	OPR
89 10 45079	<b>Promissory Notes- Long Term Loans</b> A legal record of the agreement between UW and student for repayment of funds borrowed. [Long Term Student Loan Promissory Notes are accessible electronically, but the primary copy will be maintained in hard copy format due to Department of Education regulations for paper documentation in payment dispute cases.]	Retain for 6 Years after Paid in Full	OPR
90 01 45529 Rev 1	<b>Returned Check File</b> Consist of the actual checks for student payments of tuition/registration fee which are returned unpaid from banks.	Retain for 1 Year after End of Fiscal Year	OFM
90 01 45528r2R12	<b>Returned Checks Listing</b> Provides a listing of unpaid checks returned from banks. May include disposition letters. Returned checks are forwarded to the appropriate department.	Retain for 2 Years after End of Fiscal Year	OFM
90 01 45496r1R12	<b>Scholarship Files</b> Includes Donor/Source of Funds, documentation of sponsor liability, sponsor correspondence, remittance copies of checks, and correspondence with students. Either physical checks or images on CD-ROM received from the bank are maintained.	Retain for 6 Years after End of Quarter	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 10 57115R1R12	<b>Scholarship Trial Balance Reports</b> Provides a record of trial balances created for scholarship student accounts with budgets that begin with "3X".	Retain for 2 Years after End of Fiscal Year	OFM
90 01 45472 Rev 1	<b>Selected Charge Transaction Report (SA70105-R-06)</b> Provides a monthly report listing active charge codes used in the Period Aid Check Summary Date/Fund (SA70105-R-05).	Retain for 2 Years after End of Fiscal Year	OFM
90 01 45507r1.R11	<b>Student Aid Files - Quarterly and Yearly</b> Printout from database provides quarterly and yearly verification of aid student receives. Used to reconcile amounts awarded and amounts not spent. Reports are cumulative. Only includes quarterly and yearly reports. [For retentions for other reports (i.e. daily, weekly, bi-monthly, etc) see the series entitled "Student Aid Files - Database Printouts".]	Retain for 3 Years after End of Fiscal Year	OFM
90 01 45498r1R12	<b>Teaching Assistant/Research Assistant Fee Waiver Report (SA80110-R-01, SA80110-R-02)</b> Provides a daily report verifying teaching and research assistantship participants. Used to support fee waiver.	Retain for 1 Year after End of Fiscal Year	OFM
90 01 45503r1R12	<b>Trial Balance</b> Provides a monthly summary and balance of financial activity by program and budget number.	Retain for 3 Years after End of Fiscal Year	OFM
96 MM 57108r1R1	<b>Tuition Account Record--Student Database</b> The database which provides a comprehensive daily record, by student number, of tuition and fee charges, tuition related charges, payments, credits and refunds.	Retain for 6 Years after Last Quarter of Enrollment	OPR
90 01 45535	<b>Uncollectable Accounts Set for Purge (SA60165)</b> Provides a record of accounts ready for system purge.	Retain for 1 Year after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 10 57109r1R12	<b><i>Uncollectables: Over \$1,000</i></b> Provides a record of uncollectables over \$1,000. Includes memorandum per account documenting account history and approval of uncollectable status.	Retain for 6 Years after End of Quarter	OPR
96 10 57110	<b><i>Uncollectables: Under \$1,000</i></b> Provides a record of uncollectables under \$1,000. Includes summary letter signed by director which lists all uncollectables under \$1,000 as well as database reports.	Retain for 6 Years after End of Quarter	OPR
89 10 45081	<b><i>UW Initiated Loans- Legal Files</i></b> Documents the establishment and maintenance of institutional loan programs. Files provide the legal basis and justification for the establishment of the student loans initiated by the UW.	Retain for 6 Years after Funds Dispersed	Archival OPR
90 01 45533 Rev 1	<b><i>Washington Public Interest Research Group (WASHPIRG) (SA70110-R-02)</i></b> Provides a quarterly list of WASHPIRG contributions.	Retain for 1 Year after End of Fiscal Year	OFM
90 01 45499	<b><i>Western Interstate Committee for Higher Education (WICHE) Report</i></b> Provides guarantee for non-resident exemptions of out-of-state fees. Includes correspondence authorizing expenditures.	Retain for 6 Years after End of Quarter	OPR

**/09/13/**  
*Accounting*

## Financial Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 03 62205	<b><i>Agency Budget Files</i></b> Provides a record of the establishment of certain types of Agency Accounts. May include correspondence, request, copies of BARs/BSRs. Agency Accounts are established for non UW entities who have an agreement to use the UW accounting system.	Retain for 6 Years after End of Biennium	OPR
86 3 36135r1R0	<b><i>Allotment and Expenditure Reports</i></b> Provides a monthly summary received from CAFR & AFR reporting transmittal and allotment status. Uses for review and reconciliation purposes.	Retain for 6 Years after End of Month	OPR
86 3 36136r1R0	<b><i>Annual Financial Reports (AFRs) Cash Receipts Journal Summary</i></b> Lists offices that send revenue to the State Treasurer's office in Olympia.	Retain for 6 Years after End of Month	OPR
10 03 62207	<b><i>Annual Financial Statement Workpapers</i></b> This series provides a record of various spreadsheets, worksheets, and reports extracted from FAS and received from other University offices which are combined with information from the Development office to prepare the University of Washington Audited Annual Report.	Retain for 6 Years after End of Fiscal Year	Archival OPR
10 03 62206	<b><i>Biennium Close Records</i></b> Extracted from Financial Accounting System, provides a summary of how the system looked at the close of each biennium. Used to reconcile accounts, to trace closure problems, and to review individual accounts. Includes adjusting and closing entries, adjusted trial balance report, etc.	Retain for 6 Years after End of Biennium	OPR
10 03 62209	<b><i>Integrated Post-Secondary Educational Data System Reports (IPEDS)</i></b> Comprised of reports submitted annually to the Dept. of Education through the Integrated Post-Secondary Educational Data System. Includes Financial Information statement and supporting workpapers.	Retain for 6 Years after End of Fiscal Year	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 03 62208	<b><i>Interest Allocation</i></b> Provides a record of allocation of interest earned through non-endowed gifts, etc. Includes supporting workpapers.	Retain for 6 Years after End of Fiscal Year	OPR
10 03 62210	<b><i>Payroll Load</i></b> Spreadsheets, backup documents and reports used to calculate annual payroll benefit rates by employee classification. Part of indirect cost allocation.	Retain for 6 Years after End of Fiscal Year	OPR
87 4 39822r1R0	<b><i>Report of Revenue Transfers and Receipts (AM29500-230, 231)</i></b> Summaries of funds received by current month and by revenue code. Filed with University Annual Report.	Retain for 6 Years after End of Fiscal Year	OPR
86 3 36134r1R0	<b><i>Summary of Allotment Status Report (AM28650-276----260)</i></b> Provides a monthly summary of allotment and expenditures of budgets. Used in preparing financial reports and in reconciling fiscal statements from the State Treasurer's Office in Olympia.	Retain for 6 Years after End of Month	OPR

**/09/14/**

## Tax Office

Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 11 62144	<b><i>City of Seattle Admissions Tax</i></b> This series provides a record of the Admissions Tax form submitted to the City of Seattle and the working papers associated with its filing. (Retention required by City of Seattle Rule 5-005C4.)	Retain for 5 Years after Date of Filing	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 11 62145	<b><i>City of Seattle Parking Tax</i></b> This series provides a record of the Parking Tax form submitted to the City of Seattle and the working papers associated with its filing. (Retention required by City of Seattle Rule 5-005C4.)	Retain for 5 Years after Date of Filing	OPR
09 11 62148	<b><i>Exempt Organization Business Income Tax (Form 990T)</i></b> This series provides a record of the Exempt Organization Business Income Tax Return submitted to the Internal Revenue Service and the working papers associated with its filing.	Retain for 6 Years after Date of Filing	OPR
09 11 62146	<b><i>Monthly Excise Tax</i></b> This series provides a record of the Monthly Excise Tax form submitted to the Department of Revenue and the working papers associated with its filing.	Retain for 6 Years after Date of Filing	OPR
09 11 62147	<b><i>Quarterly Federal Excise Tax (Form 720)</i></b> This series provides a record of the Quarterly Federal Excise Tax Return submitted to the Internal Revenue Service and the working paper associated with its filing.	Retain for 6 Years after Date of Filing	OPR

**/09/14/01/**

**Tax Office: Tax Audit**

*Accounting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 04 58334	<b><i>General Files</i></b> Created in response to the IRS audit, provides a record of research preformed, discussion and decision regarding policy procedures on various tax issues, and advice provided by outside tax teams brought in to assist with the audit. Includes correspondence, position papers, memoranda, Power Of Attorney between the Alumni Association and the University, contracts.	Retain for 6 Years after Conclusion of Next IRS Audit	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 04 58336	<b><i>Information Document Requests</i></b> Issued by the IRS, used to request specific records, from the University, for audit. Includes copies of records gathered in response to these requests.	Retain for 1 Year after Conclusion of Next IRS Audit	OFM
98 04 58338	<b><i>Major Ongoing Issue Files</i></b> Provides a record of research performed regarding various tax issues. Research is used to help formulate decisions on University policy and procedure. Issues may include: Deferred Compensation, National Research Service Awards, Tuition Waivers, Retirement Plan, Consolidated Laundry, Signed Contracts, Dentistry Practice Plan, Non-Resident Aliens, Rehired Annuitants, Unrelated Business Income Tax (UBIT), Nursing Practice Plan Donation, UW/UWMC Financials, President Compensation/Housing, etc.	Retain for 6 Years after End of Biennium	OFM
98 04 58335	<b><i>Meeting Minutes Books</i></b> Documents issues, discussion, and policy making in relation to the IRS audit. Includes correspondence and minutes of the Tax Team, Tax Strategy Team, etc.	Retain for 2 Years after Conclusion of Next IRS Audit	Archival OFM
98 04 58337	<b><i>Notice of Proposed Assessment</i></b> Provides a record of IRS tax assessments on the University. Includes amount assessed, explanation of assessment, correspondence, notes, memoranda, etc.	Retain for 2 Years after Conclusion of Next IRS Audit	OFM
98 04 58333	<b><i>Subject Files</i></b> Comprised of folders on various issues of relevance to this office, or specifically relating to the IRS audit. Includes correspondence, articles, examples of tax forms, information regarding contracts with accounting firms brought in to assist with the audit process, etc.	Retain for 5 Years after Conclusion of Audit	OFM

/09/15/

Office of the Treasurer

Administration-Treasury

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 04 59070	<b><i>Annuity and Life Income Trust Reports</i></b> Provides a record of the legal documentation and correspondence as well as financial reporting and documentation of liquid gift and managed assets. Upon death of the donor funds may be transferred directly to University departments named in the trust or may be maintained by this office as part of the general endowment fund.	Retain for 6 Years after Trust Liquidated	Potentially Archival OPR
99 04 59074	<b><i>Bond Coupons</i></b> Cancelled Bond Coupons and Certificates issued by the University of Washington. (Retention as per RCW 43.80.130)	Retain for 1 Year after Life of Bond	OPR
99 04 59071	<b><i>External Trust--Financial</i></b> Documents actions taken and spending and distribution of External Trust funds. Includes bank statements and other financial documents.	Retain for 6 Years after End of Fiscal Year	OPR
88 04 42102r1R4	<b><i>External Trusts--Other</i></b> Documents information regarding trust agreements where the University is a beneficiary. Includes legal documentation.	Retain for 6 Years after Trust Liquidation	Potentially Archival OPR
88 04 42103 r1R4	<b><i>Individual Endowment Folders</i></b> Provides detailed information regarding individual endowment agreements and actions.	Retain for 6 Years after Endowment Liquidated	Potentially Archival OPR
10 12 62356	<b><i>Internal Lending Program</i></b> Provides a record of the internal lending program including credit review, financial analysis, credit monitoring, performance analysis and maintenance of each loan.	Retain for 6 Years after Life of Note/ Maturity	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 04 42106 r1R4	<b><i>Investment Accounting Reports</i></b> Provides a quarterly record of all investment accounting entries and balances.	Retain for 6 Years after End of Fiscal Year	OPR
99 04 59072r1R5	<b><i>Investment Manager Files</i></b> Provides a record of agreements between the University and outside investment managers representing investment management firms. Includes investment management agreements and other legal documentation.	Retain for 6 Years after Manager Terminated/Partnership Liquidated	OPR
99 04 59083	<b><i>Other UW Financing Instruments: Bank Notes Payable</i></b> Record of all financial activity concerning notes payable.	Retain for 6 Years after Life of Letter of Credit/ Maturity	OPR
99 04 59082	<b><i>Other UW Financing Instruments: Letters of Credit Files</i></b> Record of all financial activity concerning Letters of Credit.	Retain for 6 Years after Life of Letter of Credit/ Maturity	OPR
99 04 59073	<b><i>Performance Reports</i></b> Used to report quarterly investment performance of the University's major investment funds. Includes working papers produced by outside consultants used in compiling the reports.	Retain for 1 Year after Administrative Purpose Served (022)	Potentially Archival OFM
88 04 42105r1R4	<b><i>Securities</i></b> A record of sales and distribution of revenue from stocks and securities. May include confirmation of sale, distribution of funds, stock certificates, correspondence, etc.	Retain for 6 Years after Liquidation of Securities	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 09 59918r1R7	<b><i>Timber Sales - Legal File</i></b> Documents the legal actions taken to harvest UW owned timber lands. Lands are managed and harvested by Washington State Department of Natural Resources. Includes contract with Dept. of Natural Resources, correspondence, amount of timber on land, reports from DNR regarding property, legal descriptions, etc	Retain for 6 Years after Termination of Contract or Sale of Property	Archival OPR
88 1 41359r1R7	<b><i>Timber Sales - Sales Reports</i></b> Reports of the amount of timber sold by Department of Natural Resources on behalf of the University. Includes purchaser, amount of timber sold, total purchase price, land the timber was harvested from, etc.	Retain for 2 Years after End of Biennium	Archival OFM
99 04 59081	<b><i>UW Local Bond Trustee Bank Statements: UW Reconciliations of Bond Construction</i></b> University of Washington internal reconciliation of Bond Trustee Construction Account Statements to FAS (Financial Accounting System). May be interfiled with Bond Construction Trustee Bank Statements.	Retain for 2 Years after End of Biennium	OFM
99 04 59079	<b><i>UW Local Bond Trustee Bank Statements: UW Reconciliations of Bond Trustee Reserve Bank Statements</i></b> University of Washington internal reconciliation of Bond Trustee Reserve Statements to FAS (Financial Accounting System). May be interfiled with Bond Reserve Account Statements.	Retain for 2 Years after End of Biennium	OFM
99 04 59075	<b><i>UW Local Bond Trustee/Payee Communication: Bond and Coupon Disposal Certificates</i></b> Provides a record of bank notifications of disposed securities including amount, approval, verification signature, and date. (Retention as per RCW 43.80.130)	Retain for 1 Year after Life of Bond	OPR

**/09/15/01/**

## **Risk Management**

*Risk Management*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 8 44614	<b><i>Accident Reports ( green label)</i></b> Provides record of miscellaneous reports and correspondence on accidents involving the UW.	Retain for 4 Years after End of Calendar Year	OFM
89 8 44605	<b><i>Closed Claims Filed Against State Fidelity Bond</i></b> Provides record of claims filed by the UW to recover losses due to theft.	Retain for 6 Years after Action on Claim Resolved	OPR
89 8 44603	<b><i>Closed Equipment Loss Claims (orange label)</i></b> Provides record of claims covered by the UW equipment insurance program.	Retain for 6 Years after Action on Claim Resolved	OPR
98 11 58957	<b><i>Employment Liability Claims Files (Purple Files)</i></b> Provides a record of third party claims filed against the University. May include eye injuries. (RCW51.32.160)	Retain for 10 Years after Claim Resolved	OPR
09 05 62017	<b><i>Enterprise Risk Management Program</i></b> Provides a record of this University wide program which includes records from the President's Advisory Committee on Enterprise Risk Management, and the COFI Council (chaired by Internal Audit). Includes Formal Risk Assessments.	Retain for 6 Years after End of Fiscal Year	Archival OPR
89 8 44601r2R7	<b><i>General Liability and Auto Liability Claim Files ( Red Label)</i></b> Provide record of third party injury claims filed against the University of Washington (UW) or University and Harborview Medical Centers. May include eye injuries. (RCW 51.32.160)	Retain for 10 Years after Claim Resolved	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61946	<b><i>Incident/Complaint Report</i></b> This series provides a record of complaints submitted by students, faculty, staff, or the public regarding incidents witnessed or experienced involving the mistreatment of people with disabilities.	Retain for 6 Years after End of Calendar Year	OPR
89 8 44612	<b><i>Insurance Carrier Payment Files (red label)</i></b> Provides record of UW insurance payments by carrier (AetnaTec, Washington State Physicians Insurance Association, etc.).	Retain for 6 Years after End of Fiscal Year	OFM
89 8 44608	<b><i>Insurance Policy/Subject Files (blue label)</i></b> Provides record of insurance policy information and provisions of various types (property, equipment, etc.).	Retain for 6 Years after End of Fiscal Year	OFM
89 8 44616	<b><i>Internal Claims Management System (Riskmaster) Open Claims Report</i></b> Provides computer-run reports of data using the Risk Management Office's internal claims management software on open claims against the UW.	Retain for 1 Month after End of Month	OFM
89 8 44617	<b><i>Internal Claims Management Systems (Riskmaster) Closed Claims Report</i></b> Provides computer-run reports of data for closed claims against the UW.	Retain for 1 Month after End of Month	OFM
93 05 52288	<b><i>Marine Claim Files (Yellow Label)</i></b> Provide records of claims filed against the University of Washington regarding protective and indemnity benefits and marine liability claims.	Retain for 6 Years after Claim Resolved	OPR
89 8 44604	<b><i>Medical and Legal Closed Claim Papers</i></b> Provides duplicate information regarding confidential medical and legal documents for closed claims. This material is shredded monthly.	Retain for 1 Month after Action on Claim Resolved	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 MM 57457	<b><i>OSHA Supplementary Record Database</i></b> Required by the Occupational Safety and Health Administration, provides a supplementary record of occupational injuries and illnesses. Created and maintained on Riskmaster, this information corresponds to Form OSHA No. 101. (Required as per 29 CFR 1904.04.)	Retain for 10 Years after First L&I Claim Closure	OPR
09 05 62018	<b><i>Portage Bay Insurance</i></b> Provides a record of the establishment of this 501 C3 University insurance corporation. Includes records documenting the establishment of the corporation, legal advice and issues, Articles and By-laws, regulatory filings, and Certificates.	Retain for 6 Years after Dissolution of Corporation	Archival OPR
09 05 62019	<b><i>Portage Bay Insurance Documentation</i></b> Provides a record of the operation of this 501C3. Includes subsections on finance including audits and tax returns, committee records, contracts, and reports to the Board of Regents.	Retain for 6 Years after Termination of Contract	Archival OPR
89 8 44602r1R9	<b><i>Potential Claims/Incident Reports/Accident Reports</i></b> Provides a record of incidents that may not evolve into claims.	Retain for 1 Year after End of Fiscal Year	OFR
93 05 52289r1R7	<b><i>Professional Claim Files (Blue Label)</i></b> Provide record of malpractice claims filed against University or Harborview Medical Centers. (As per RCW 04.16.350.)	Retain for 8 Years after Claim Resolved	OPR
90 03 46018 Rev. 2	<b><i>UCIRO: Complaint Files</i></b> Provides a record of complaint investigations and resolutions of complaints. May include information about complaint, correspondence, investigator's notes, report or response, etc.	Retain for 6 Years after File Closed	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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97 02 57454	<b><i>UCIRO: Inquiries and Administrative Contacts</i></b> Documents inquiries to, and administrative contacts with, UCIRO. May include documentation of receipt of inquiry or administrative contact, notes, information on area handling, and correspondence.	Retain for 6 Years after Inquiry Concluded	OPR
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93 05 52287 Rev. 1	<b><i>Worker's Compensation Claim Files</i></b> Internal University claim files relating to worker's compensation claims filed by UW employees with the Department of Labor and Industries. May include correspondence with L&I, notes, UW copies of L&I's original forms. Original claims are on file at L&I. (Retained for 10 years to cover claims involving loss of vision or function of the eyes as per RCW 51.32.160.)	Retain for 10 Years after First L&I Claim Closure	OPR
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**/09/15/02/**

## Real Estate Office

*Real Estate*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 12 53406r1.R2	<b><i>Financial - Taxes</i></b> Provides record of tax assessments, payments, leasehold excise tax returns and audits. Also includes quarterly leasehold excise tax reports, excel spreadsheet summary of collections.	Retain for 6 Years after End of Biennium	OPR
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93 12 53405r1R2	<b><i>Metro Tract Capital Investment/Tenant Improvements Files</i></b> Documents construction, renovation, improvements, or repairs for new or existing facilities. May include correspondence, project meeting minutes, Board of Regents Action Items, plans, drawings, permits, EIS, contracts, phone lists, test results, reports, modification proposals, change orders, Operations and Maintenance Manual, accounting information, photographs, asbestos survey and removal information, submittals, close out documents, etc.	Retain for 6 Years after Project Complete/Acceptance	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 12 53408r1R2	<b><i>Metro Tract Insurance</i></b> Provides record of property insurance policies and related documents and correspondence.	Retain for 6 Years after Termination of Policy	OFM
93 12 53402r2R3	<b><i>Metro Tract Lease Files</i></b> Provides record of leases for MetropolitanTract. May include, but not limited to: leases and related accounting, legal, management and correspondence.	Retain for 6 Years after Termination of Contract	Archival OPR
93 12 53409r2R3	<b><i>Metro Tract Legislation</i></b> Files document proposed and approved legislation specific to the Metro Tract. Legislation can be in any jurisdiction including city, county, state and federal. Files include background material, supporting documents, drafts, correspondence, etc.	Retain for 6 Years after Legislation Adopted or Not Approved	Archival OFM
93 12 53414r2R3	<b><i>Metro Tract Management Reports</i></b> Provides record of financial and general status of property. Reports include audit reports, biennial reports to Legislature, reports to Regents.	Retain for 6 Years after End of Biennium	Archival OPR
05 07 60941	<b><i>Metro Tract Ownership Files</i></b> Provides ownership information including deeds, conveyances, LID information, strategic planning documentation, studies and property appraisals.	Retain for 6 Years after Sale of Property	Archival OPR
88 1 41357r2R3	<b><i>Sold Properties/Ownership Interest</i></b> Legal and management files for property owned and sold by the UW including Seattle campus, Bothell campus, Tacoma campus, field stations, gifts, miscellaneous properties and non-fee ownership (i.e. mining claims, water rights). Files include deed, gift information, photos, plat maps, appraisal reports, correspondence, land restriction information, closing statements and management information, etc.	Retain for 6 Years after Sale of Property or Termination of Ownership	Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41360r2R3	<b><i>Trust Lands - Transaction and Legal Files</i></b> Documents the lands held in trust for the UW. Most lands held in trust are used for harvesting timber or as field research. Files include deeds, legal documents and description of parcel, permits to harvest, consent to sell, contract with Dept. of Natural Resources to manage the property, correspondence, etc.	Retain for 6 Years after Property Sold	Archival OPR

## /09/18/ Internal Audit

### Audit

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85 4 35194r2R3	<b><i>Audit Working Papers--Closed Audits</i></b> Provides a record of work completed in performance of audits.	Retain for 6 Years after Administrative Purpose Served	Archival OFM

85 4 35193 Rev. 1	<b><i>Permanent File</i></b> Provides a record of audit reports and departmental responses. Includes general departmental information, departmental systems documentation, correspondence. Folder is reopened each time the department is audited. Material may be added, general information regarding the department may be deleted or amended. (A copy of the final audit report will be sent to the Archives.)	Retain for 6 Years after Administrative Purpose Served	OPR
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97 07 57848	<b><i>Special Investigation Working Papers--Closed Audits</i></b> Provides a record of work completed in performance of special investigation audits.	Retain for 6 Years after Audit Issues Resolved	OFM
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## 10 Office of Vice President for Human Resources

*Compensation, HR Operations, U-Temp Staffing, Labor Relations, Professional and Organizational Development, Benefits, Disability Services, Work/Life, and Violence Prevention Response Program*

**/10/02/**

## Compensation Office

Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 11 61019	<b>Compensation Plan</b> Record of the job specifications and pay scales for classified staff at the University of Washington.	Retain for 6 Years after Authorized Adjustments	Archival OPR
05 11 61023	<b>Legislative Salary Adjustments</b> Background files regarding the allocation of salary funds from the state. Files document how salary adjustments are to be distributed among a departments' staff. Includes costing, estimating, legislative background, HEPPS database printouts, staff listings, salary surveys, etc.	Retain for 2 Years after End of Biennium	OFM

**/10/03/**

## Human Resources Operations

Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83 3 31485r1.R4	<b>Attendance Incentive Program - Requests for Payment for Unused Sick Leave</b> Requests for compensation by UW staff employees who have accrued 480 hours or more of sick leave. Includes request and copy of 220 form for verification.	Retain for 1 Year after End of Calendar Year	OFM
10 01 62186	<b>Complaint/Grievance Report Files</b> This series provides a record of complaint and grievance reports received by Human Resources Operations. These reports are copies and are used for informational purposes only. The originals reside in Risk Management, UCIRO, and Labor Relations.	Retain for 3 Years after Last Activity	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 02 60023	<b><i>Employee Personnel Folders - Medical Records</i></b> Provide record of information obtained regarding the medical condition or history of an employee considered to have a medical disability. May also include information regarding accidents/incidents or exposure to hazardous chemicals. Per 29 CFR 1630.14 (Americans with Disabilities Act), this information must be retained separately from the employee's personnel folder and maintained in a locked file cabinet with restricted access. Per WAC 296-62-05207 and 29 CFR 1910.1020 must be maintained for 30 years if contains exposure information.	Retain for 50 Years after Termination of Employment	OFM
10 01 62184	<b><i>Layoff Procedures</i></b> This series documents that layoff or reversion procedures were handled correctly for an individual. Also includes documentation for the entire process.	Retain for 6 Years after End of Calendar Year	OPR
06 06 61206	<b><i>Logs</i></b> Created in electronic format, these logs provide an index to information found in existing record series.	Retain for 6 Years after End of Calendar Year	OFM
10 01 62185	<b><i>Request for UW Affiliate Status</i></b> The University grants affiliate status to employees of the childcare centers at Cottage School at HMC, Radford Court, Laurel Village, and West Campus. Affiliate status allows those employees to have access to a limited number of UW benefits such as UPASS, libraries, IMA, etc.	Retain for 6 Years after No Longer Affiliated with Campus	OPR
00 12 60005	<b><i>Settlement Agreements</i></b> Agreements with former UW employees to settle on-going or potential lawsuits through mediation. Includes contract, copy of payment check, correspondence and background materials.	Retain for 6 Years after Settlement Completed	OPR
10 01 62183	<b><i>State of Washington Employment Security Department Determination Notice - Hourly</i></b> Provides a record of state action taken on claims made by former UW hourly staff employees for unemployment benefits under the Employment Security Act. Includes documentation material and appeal materials, if the decision is appealed.	Retain for 2 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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06 06 61208r1R7

***Washington State Patrol Check***

Performed by the Washington State Patrol, provides a record of background verification checks on prospective employees, contractors, volunteers, etc. Includes Criminal History Form, (Falsified forms bar an individual from UW employment for a minimum of two years.)

Retain for 50 Years  
after Report Received

OPR

10 01 62187

***Worker's Compensation Report***

This series provides a record of a monthly report distributed by Risk Management concerning worker's compensation cases. Used to determine whether Human Resources can assist in the process.

Retain for 1 Year after  
End of Month

OFM

**/10/04/**

**UTemp Staffing Program**

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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05 11 61037

***Utemp Staffing (UTS database)***

Provides a record for each budget billed for temporary employees and services performed by the UTemp Staffing Program. Includes the budget information, job request, the daily roster, the reconciliation documentation, the employee's personnel folder, etc. The application and other information including general employment notes are found in the RecruitMax database, which is used in conjunction with the UTS database.

Retain for 6 Years after  
End of Calendar Year

OPR

**/10/05/**

**Labor Relations Office**

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
9 07 62081r1R4	<b><i>Public Employment Relations Commission Files</i></b> Provides a record of work with the Public Employment Relations Commission (PERC) to resolve unfair labor practices, unit classifications, and representation rights. May include: correspondence, reports, etc.	Retain for 6 Years after Case Resolved	OPR

**/10/07/**

## **Benefits**

### *Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 01 62188	<b><i>Adjustments Database</i></b> Documents adjustments to an employee's medical, dental, life and long-term disability payments by the UW or employees to correct discrepancies. Includes PERS reductions processed on a one time basis per employee for a given pay period.	Retain for 6 Years after Termination of Employment	OPR
87 2 39254 Rev. 1	<b><i>Benefits Files</i></b> Provides a record of each employee's enrollment in insurance programs. Includes: Medical/Dental Enrollment/Change Form (P-400, copy 1); Life Insurance Enrollment/Change Form (P-402, copy 1); Long Term Disability Insurance Enrollment/Change Form (P404, copy 1); Voluntary Increase in Premium Rates to Annuities (Form R/I 725, copy 1), Voluntary Investment Program Documents.	Retain for 6 Years after Termination of Employment	OPR
88 12 43305 Rev 1	<b><i>Court Cases Public Employees Retirement System (PERS)</i></b> Provides a record of resolved suits brought by UW employees regarding PERS retirement claims.	Retain for 60 Years after End of Calendar Year	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 2 39236 Rev. 1	<b><i>Detailed Deduction Report (Declining Balance Report) PAYR121/49000-006,007, 008,010,013,014,017</i></b> Provides a monthly alphabetical listing of payroll deductions and reductions per pay period for participants in PERS, TRS and LEOFF. Provides the sole confirmation of deduction and reduction transactions for which the University as employer is responsible.	Retain for 75 Years after End of Calendar Year	OPR
87 2 39237 Rev. 1	<b><i>Detailed Deduction Summary Report</i></b> Comprised of the last pages of each of the detailed Deduction Reports (PAY121/49000-006 through 019). Provides total amounts for deductions and reductions reported for PERS, TRS and LEOFF per pay period. Used to compute the amount to be paid to the DRS.	Retain for 6 Years after End of Calendar Year	OFM
87 2 39262 Rev 1	<b><i>Disability Claim Files</i></b> Provides a record of actions taken to initiate or sustain a disability claim. Includes a record of medical, dental, disability, and life insurance as well as changes in beneficiary.	Retain for 1 Year after Death of Claimant	OFM
10 01 62189	<b><i>Medicare Data Match Secondary Payer Program</i></b> Documents UW submission of Data File to Medicare as required by US Code title 42. Also includes health care enrollment questionnaires which will be used by Medicare to ensure it has not paid health care claims inappropriately.	Retain for 6 Years after End of Calendar Year	OPR
95 10 56098	<b><i>Optional Life and Long-term Disability Deduction Reports (PERS 342/PP73100N; PERS 344/PP73100N)</i></b> Provides record of amounts of payroll deductions for optional coverage for life and long-term disability insurance.	Retain for 6 Years after End of Calendar Year	OFM
87 2 39256 Rev. 1	<b><i>Package Plan Reports ( PERS341/PP73100N)</i></b> Provides a record of UW contributions to medical, dental, basic life and long-term disability. Includes medical reports, life reports, Ltd reports.	Retain for 6 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 04 62444	<b><i>Retirement Plan Adjustments (Mistake of Fact)</i></b> This series provides a record of adjustments made to an employee's University of Washington Retirement Plan account. Includes supporting documentation such as notification letters and adjustment calculations.	Retain for 6 Years after End of Calendar Year	OPR
95 MM 56091	<b><i>Retirement Transmittal Report (PAY131/PP53000)</i></b> Provides a digital monthly record of actual salaries and contributions for participants in PERS, TRS and LEOFF. Combines information previously reported on the TRANSMITTAL REPORT OF DEDUCTIONS and the REPORT OF EMPLOYEES DEDUCTIONS AND UNIVERSITY CONTRIBUTIONS.	Retain for 75 Years after End of Calendar Year	OPR
95 10 56095	<b><i>Statement of Personal Ineligibility for Membership in PERS (Student Waiver Forms)</i></b> Provides record of students or spouses of full-time students who waive their eligibility for inclusion in a retirement plan.	Retain for 75 Years after End of Calendar Year	OPR
95 10 56096	<b><i>Student Waiver of Retirement Report (PERS 723/PP72200D)</i></b> Provides monthly listing of student employees or employee spouses of full-time students who waive their eligibility for inclusion in a retirement plan.	Retain for 4 Years after End of Quarter	OFM
95 10 56097	<b><i>Trial Balance--General Ledger</i></b> Provides a monthly summary and balance of financial activity for Retirement and Insurance. Indicates liability for payments to retirement and insurance systems.	Retain until End of Biennium	Potentially Archival OFM
87 2 39251 Rev. 1	<b><i>UW Retirement Plan-Retiree Files</i></b> Provides a record of retired employees eligible for and presently receiving Retirement Funds in addition to the faculty retirement Basic Plan.	Retain for 1 Year after Death of Final Beneficiary	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 2 39248 r2R7	<b><i>UW Retirement Plan-Voluntary Investment Program (COM)</i></b> Provides a semi-monthly record of adjusted reports of payroll deductions for retirement and tax deferred annuities. Filming of these records began in March 1986.	Retain for 75 Years after End of Fiscal Year	OFM
87 2 39253 Rev. 1	<b><i>UW Retirement Plan-Voluntary Investment Program: Information Card File</i></b> Provides a record of all participants in TIAA-CREF and other investment companies. Includes name, Social Security number, contract numbers, options selected, and surrender or repurchase actions. Serves as a backup reference.	Retain for 1 Year after Death of Final Beneficiary	OFM
87 2 39243 Rev. 1	<b><i>UWRP Lump-Sum Withdrawal/Transfer Authorizations</i></b> Provides a record of forms, signed by a UW representative, which authorize a lump-sum withdrawal/transfer of accumulations by a UWRP participant at termination or separation from an eligible position.	Retain for 6 Years after End of Calendar Year	OPR
87 2 39239 Rev. 1	<b><i>Verification of Employment (DRS572005, copy 1) Computation of Employer Billing-003 Form</i></b> Provides a record of hours worked and a record of earnings and retirement contributions by employee. Used to verify service credit. Used internally to document information provided to state auditors.	Retain for 60 Years after End of Calendar Year	OFM

## **/10/07/01/ Benefits and Work/Life Office: Combined Fund Drive**

### *Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61222r1R1	<b><i>Combined Fund Drive Contribution Forms</i></b> This series provides a record of contributions to the Combined Fund Drive by UW employees who did not donate online or who donated through fund raising events. May include UW copy of contribution form, pledge confirmation, copy of the check deposit slips, fund raising form, pledge confirmation, fax coversheet, and copy of AFRS Cash Receipts Journal Summary.	Retain for 6 Years after End of Calendar Year	OPR

**/10/08/**

## **HRIS (Human Resource Information Systems)**

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 06 61213	<b>OWLS</b> Provides a record of information contained in the UW Online Work and Leave System. OWLS is a computer based tracking system that departmental timekeepers use to track leave accrual for classified and professional staff. OWLS was developed through the HR and Payroll USER Project.	Retain for 50 Years after Termination of Employment	OPR
06 04 61216r1R5	<b>UW Hires</b> Provides a record of the entire recruitment and application process for full-time employees. Includes the Employee Opportunities Bulletin, advertising records, employment application and supporting documentation, resumes, employment specialist notes, hiring decisions, etc.	Retain for 3 Years after End of Calendar Year	OFM

**/10/09/**

## **Disability Services Office**

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59580	<b>Accommodation Case Files and Consultations (After 11/10/97)</b> Provides a record of equipment purchased, modifications made to work spaces, and/or special measures taken for faculty, staff or the general public who need special accommodation or disability parking/ transportation. May include job analysis, correspondence, notes, memoranda, etc.	Retain for 6 Years after File Closed	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59581r1R0	<b><i>Non-matriculated Student Disabilities Record Files</i></b> Record of diagnostic reports from treatment providers regarding disability (ies), records of the history of accommodations requested/offered, correspondence and notes relevant to the provision of accommodation.	Retain for 6 Years after File Closed	OPR

**/10/10/**

## **UW Work/Life Office**

### *Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 09 60961r1R1	<b><i>Nanny Share Network Registration Form</i></b> Application filled out by members of the University community who are looking to participate in the Nanny Share program. The goal of the program is to help University families connect with others who are interested in sharing a nanny.	Retain for 2 Years after New Form Submitted/Form Expired	OFM
09 07 62071	<b><i>Parent Standing Verification</i></b> This series provides a verification of parents who are students at the University of Washington and are eligible for child care benefits at participating child care center.	Retain for 1 Year after End of Academic Year	OFM
05 09 60962	<b><i>Request for UW Affiliate Status</i></b> The University grants affiliate status to employees of the childcare centers at Cottage School at HMC, Radford Court, Laurel Village, and West Campus. Affiliate status allows those employees to have access to a limited number of UW benefits such as UPASS, libraries, IMA, etc. Affiliate status cards are processed through Human Resource Operations. As of February 2007, the original requests are now maintained by Human Resources Operations.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 09 61059r1R1	<b><i>UW Caregiver Directory- Employee Registration</i></b> Registration for University affiliated individuals who are seeking employment as caregivers. Includes name, contact information, EID/Student ID#, hours available to work as a caregiver, and type of care they are willing to provide.	Retain for 6 Years after New Form Submitted/Form Expired	OPR
05 09 61060r1R1	<b><i>UW Caregiver Directory- Employer Registration</i></b> Registration form filled out by members of the UW community who are looking for caregiver services. Includes, names, ages, and genders of those needing care, the type of care needed, and the times and days care is needed.	Retain for 6 Years after New Form Submitted/Form Expired	OPR

## **/10/11/ Violence Prevention Response Program**

*Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 04 62132	<b><i>Violence Prevention Response Program Case Files</i></b> This series provides a record of cases being managed by the Violence Prevention Response Program. May include action plans, reports, and supporting documentation, both electronic and hard copy, regarding the issue, such as stalking, harassment, etc.	Retain for 6 Years after Case Closed	OPR

## **11 Vice President for Development and Alumni Relations**

*Advancement*

### **/11/04/ Development & Alumni Relations: Annual Giving Programs**

*Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 07 53817 Rev. 1	<b>Event Folders</b> Provides a record of events sponsored by the Office of Annual Giving. May include summary/checklist, planning material, program, guest list, publications, photographs, catering information, invitations, etc.	Retain for 2 Years after End of Fiscal Year	Potentially Archival OFM

## /11/05/ Development & Alumni Relations: Information Management

### Development

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 11 61112	<b>ADVANCE Database</b> ADVANCE is used to record information about University relationships with alumni and donors and make the information available to University staff. Includes biographical information on University graduates and donors. Also includes donation information that is used only for solicitation purposes. This office is not responsible for any accounting functions. Gift Processing (record group 11.05.01) retains auditable records surrounding donations. The department on the receiving-end of the gift is responsible for managing any stipulations on how each donation to the University is used.	Retain until Superseded	OFM
05 11 61029	<b>Campaign Reports</b> Summarizes giving to the University during the campaign period based on campaign counting standards. These reports are included in the monthly Report of Contributions that is sent to and approved by the Board of Regents who is responsible for receiving all gifts to the University.	Retain for 6 Years after End of Campaign	Archival OFM
05 11 61030	<b>Help Desk Work Order</b> Work order created in a database to track computer or networking help provided by HelpDesk staff. Requests are given a job number and the progress is tracked in the software. The office does not charge for these services.	Retain for 3 Years after Job Completion	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52076r1.R3	<b>Report of Contributions (ROC)</b> Provides a summary of the total number of gifts (both cash and non-cash) received by the University during the year. The report is submitted to the Board of Regents who must approve the receipt of all gifts to the University.	Retain for 6 Years after End of Calendar Year	Archival OPR

## /11/05/01/ Development & Alumni Relations: Gift Processing

### Development

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44788 Rev.1	<b>Donation Record (Batch Envelopes) (Batch Material)</b> Provides a record of amount of donation, name of donor, and conditions placed on donations for inside and outside batches. May include: Receipt of Tender of Gift (UW1311), Credit Card Slip, Gift Transmittal (UW1310), correspondence, solicitation material, etc.	Retain for 6 Years after End of Month	OPR

89 9 44793r2R5	<b>Fund Files</b> Provides documentation regarding the establishment and definition of the UW gift funds. Includes record of any unusual transaction involving a gift fund. Does not include original financial information.	Retain for 3 Years after Last Gift From Donor	OFM
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10 03 62111	<b>Pledge Files</b> This series provides a record of non-binding pledges made by donors during the UW Fundraising Campaign. Does not include transactional financial information.	Retain for 6 Years after Campaign Closed	OFM
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## 12 UW Technology

### Technology



**/12/01/**

## **UW Technology Services: Data Center & Facilities Access Control**

*Technology Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 08 61600	<b><i>Activity Log</i></b> This series tracks the door activity in any C&C owned or leased facility.	Retain for 5 Years after End of Quarter	OFM
07 08 61603	<b><i>Security Access Request Forms - Non-UW Personnel</i></b> This series provides a record of non-UW personnel who are issued a badge, key, or building alarm codes for admittance into any C&C owned or leased facility. May include personnel background information.	Retain for 6 Years after Last Activity	OPR
07 08 61602	<b><i>Security Access Request Forms - UW Personnel</i></b> This series provides a record of UW personnel who are issued a badge, key, or building alarm codes for admittance into any C&C owned or leased facility.	Retain for 6 Years after Termination of Employment	OPR
07 08 61601	<b><i>Security Access/Badge Authorization</i></b> This series provides a record of UW non-C&C personnel who may request badges or building access for department personnel. Allows personnel to enter C&C leased or owned facilities.	Retain for 6 Years after Superseded	OPR

**/12/02/02/**

## **C&C: Client Services: KEYNES & Secure ID Support**

*Technology Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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05 09 60972

***Secure ID Inventory Log***

List of each Secure ID unit and its assigned user.

Retain until Last Date  
of Equipment Use

OFM

**/12/07/**

**UW Information Technology: Service Center**

*Technology Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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11 08 62677

***Activation of Miscellaneous Accounts***

This series provides a record of department approval and the activation of communication services and devices at personal residences of University faculty and staff.

Retain for 6 Years after  
Termination of Service

OPR

**/12/08/**

**UW Technology: Business and Finance**

*Technology Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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88 1 41376 r1R8

***Budget Number Changes Centrex Table and Inventory***

Documents changes in departmental budget numbers to which services are billed or in inventory. Includes original request, changes and related correspondence.

Retain for 6 Years after  
End of Fiscal Year

OPR

90 12 47194r2R12

***Supply Inventory Reports***

Provides monthly inventory of items in the stock room.

Retain for 6 Years after  
Cycle Counts

OPR

/12/09/

## C&C: Security Operations

Technology Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 03 60828	<b><i>Incidents</i></b> Records related to information security or privacy incidents that do not include a breach of confidential information, notification to affected individuals, and/or reporting to a third party etc. as required by federal or state laws and regulations. Includes incidents spanning multiple UW jurisdictions. Based on the type of information security or privacy incident and the organizational area in which it occurred (see APS 2.5 Incident Management Policy for additional information), the official copy resides in one of the following offices: UW Office of the Chief Information Security Officer UW Medicine Compliance Office of Research UW Medicine IT Services	Retain for 2 Years after UW Investigation Complete	OFM
05 03 60827	<b><i>Incidents Requiring Further Action</i></b> Records related to information security or privacy incidents resulting in a violation of federal or state laws and regulations or incidents that include patient information. Must include a breach of confidential information, notification to affected individuals, patient information, and/or reporting to a third party etc. Includes incidents spanning multiple UW jurisdictions. Based on the type of information security or privacy incident and the organizational area in which it occurred (see APS 2.5 Incident Management Policy for additional information), the official copy resides in one of the following offices: UW Office of the Chief Information Security Officer UW Medicine Compliance Office of Research UW Medicine IT Services	Retain for 6 Years after UW Investigation Complete	OPR

13

## Vice Provost for Educational Outreach

Educational Outreach and Online Learning

/13/02/01/

## Educational Outreach: Academic Programs: Advising and Recruitment

Academic Programs Advising and Recruitment

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 12 54850 r2.R4	<b>Intake Sheets- Prospective Students</b> Provide an individual record of the advising of prospective students to a non-matriculated course of study, i.e., Extension, Independent Study, etc. May include notes about counseling sessions.	Retain for 2 Years after End of Calendar Year	OFM
05 09 60959	<b>Prerequisite Approvals</b> Approvals granted by the advising office that state that a student has met all the prerequisites to take a particular class.	Retain for 1 Year after Approval Granted or Denied	OFM
94 12 54849 r1.R3	<b>Student Advising Folders - Non-Matriculated Students</b> Individual records of the advising of students registered or students considering registration for a non-matriculated course of study, i.e., Independent Study, Extension, etc. May include case studies and other notes about counseling sessions.	Retain for 2 Years after While Enrolled	OFM
94 12 54847 r1.R3	<b>Student Monitoring Reports</b> Statistical record of the number and names of students who have participated in the Evening Degree Program. Includes student names along with their program of study, credits earned, entering and final grade point averages; as well as graduating class summary information, such as total number of graduates, summary grade point average statistics, etc.	Retain for 5 Years after End of Academic Year	OFM

**/13/08/01/**

## **Educational Outreach: Accounting and Finance**

### *Accounting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 11 56183r1R8	<b><i>Daily Deposit Summary Reports</i></b> This series provides a record of the money received each day, whether in the form of cash, checks, or credit cards (via the web or in person). May include Batch Control Reports or departmental copy of cash transmittals.	Retain for 6 Years after End of Fiscal Year	OPR
95 11 56188r1R8	<b><i>Payroll: Settlement Report</i></b> Summarize, by pay period or month, amounts paid to instructors. Now takes the place of Payroll: Distance Learning (Independent Study) Grade Sheets.	Retain for 6 Years after End of Quarter	OPR
93 01 51781	<b><i>Receipt Books</i></b> Provides record of amounts received in payment for registration. May be for off-site conferences or counter registration when computer is down.	Retain for 6 Years after End of Month	OPR

**/13/08/02/**

## **Educational Outreach: Operations: Program Central Support**

### *Program Support*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43312r3.R4	<b><i>Certificate Program Application -- Accepted But Not Entered</i></b> Provides a record of accepted applicants who have not registered in a program or who have been asked to be placed on the waiting list.	Retain for 2 Years after September 1st	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 12 43313r3.R4	<b><i>Certificate Program Application -- Not Accepted</i></b> Provides a record of applicants who have been denied admission to a certificate program.	Retain for 1 Year after September 1st	OFM
88 12 43315r3R6	<b><i>Course Approval Files - Autumn 1988 and forward</i></b> Documents academic departments' approval of course offerings. May include Non-Credit Course Proposal as well as special topics course codes.	Retain for 5 Years after End of Academic Year	Potentially Archival OFM
01 03 60052r1R5	<b><i>Evaluation/Scoresheets</i></b> Provides a record of individual applicant evaluations completed by members of the appropriate program's Advisory Board. These evaluations do not become part of the student folder.	Retain for 3 Months after Review Complete	OFM
95 10 56108r2R6	<b><i>Exam and Answer Sheets</i></b> A record of exams completed by Distance Learning students.	Retain for 2 Years after End of Month	OFM
88 12 43432r3R6	<b><i>Exam Master File</i></b> A record of Distance Learning class/program examinations by course name and number.	Retain for 2 Years after Course No Longer Offered	Archival OFM
94 07 53851r2R6	<b><i>In-Service Clock Hour Attendance Sheets</i></b> Provides record of continuing education in-service hours for primary and secondary school teachers. Maintained as per WAC 180-85-205(6).	Retain for 7 Years after End of Calendar Year	OPR
99 04 59068r1R6	<b><i>Instructor Information Release Forms</i></b> Forms which provide consent for release of instructor contact information (address, phone numbers, e-mail address). Made available to students during the time period in which the instructor has contracted to teach.	Retain for 6 Years after Course Completion	OPR

**/13/08/04/**

## **Educational Outreach: Registration Services**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 04 59069r2R6	<b>Registration Forms</b> Provides a daily record of registration source documents for non-credit courses, credit courses, degree programs, conferences, and certificates. May include: Add/Drop/Transfer Forms, etc.	Retain for 6 Years after End of Month	OPR

**/13/08/05/**

## **Educational Outreach: International Outreach Program**

*Outreach*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 12 43437	<b>Student Visa Records (F-1)</b> Provides proof of acceptance of student to educational program and student financial guarantee. Includes Visa Eligibility Form (I-20) verified by United States Embassy.	Retain for 5 Years after End of Calendar Year	OFM

**/13/08/08/**

## **Educational Outreach: Summer Quarter**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43134r1R0	<b>Summer Quarter Budget</b> Documents approval process for each summer program offered.	Retain for 2 Years after End of Summer Quarter	Potentially Archival OFM

## 14 Intercollegiate Athletics

*Intercollegiate Athletics*

**/14/01/ ICA: Director**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 05 52305	<b>NCAA</b> Provides a record of the department's relationship with the NCAA. Includes Compliance Certification for Staff Members, NCAA Legislation, NCAA Revenue Distribution Plan, NCAA Self Studies, NCAA Penalty Structure Committee, NCAA Honors Committee, etc. Contains reports, correspondence, memoranda, minutes, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM
93 05 52306r1R4	<b>PAC-12</b> Provides a record of the department's relationship with PAC-12. Includes Committees, Television, Budget and Finance, Revenue Sharing, etc. Contains correspondence, memoranda, minutes, reports, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM
93 05 52307r1R4	<b>Ticket Files</b> Provides a record of ticket allotment received from the ICA Ticket Office which may be distributed as appropriate.	Retain for 5 Years after End of Calendar Year	OFM

**/14/02/ ICA: Business Office**

*Intercollegiate Athletics*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51617r1R4	<b><i>Concession and Souvenir Files</i></b> Provides a record of summaries of earnings per game per concession or if souvenir, per vendor. Includes memoranda, correspondence, sales and commission summaries, receipts, check stubs, and contracts with food service and souvenir vendors.	Retain for 6 Years after End of Fiscal Year	OPR
92 12 51624r1R4	<b><i>Settlements/Agreements-Intercollegiate Athletics, NCAA (PAC-12)</i></b> Provides a record of financial settlements between Intercollegiate Athletics, NCAA, and other PAC 12 colleges regarding revenue sharing for conference games, regional and final championships, and PAC-12 Championships. Includes correspondence, memoranda, cash flow summaries, deposit slips, and check stubs.	Retain for 6 Years after End of Fiscal Year	OPR

**/14/03/ ICA: Husky Sports Psychology Services**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59197	<b><i>Client Case Files</i></b> Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Client Statement of Understanding, Evaluation of Effectiveness of Services, Client Consent and Confidentiality Statement, Release of Information Agreement, progress notes, goal setting and imagery session notes, closing summary, etc.	Retain for 15 Years after Last Contact	OPR
99 06 59198	<b><i>Team Files</i></b> Record of performance enhancement sessions with teams. Includes goal setting and imagery forms for each individual team member and overall result of session.	Retain for 4 Years after End of Academic Year	OFM
99 MM 59199	<b><i>Video/Audio Tapes of Counseling Sessions</i></b> Provides video or audio tape of individual session between client and counselor. Team sessions may also be video or audio taped for future reference.	Retain for 3 Years after End of Calendar Year	OFM

**/14/04/**

**ICA: Ticket Office**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 53040R1.R3	<b><i>Husky Season Ticket Renewal Applications</i></b> Provides a record of renewal applications for Husky sporting events (basketball, football, etc.) Includes Faculty/Staff Applications as well as general public, student and alumni.	Retain for 1 Year after End of Session	OFM
93 06 52505	<b><i>Player's Guest Lists</i></b> Provides a record of complimentary pass lists which are submitted by players. Regulated by the NCAA, these lists are provided by the Recruiting Coordinator.	Retain for 10 Years after End of Season	OFM
93 09 53039R1.R3	<b><i>Tickets: Special Events</i></b> Provides a record of special event (i.e. Football Bowl Games, NCAA Playoffs, etc.) ticket transactions. Includes applications, correspondence, memoranda.	Retain for 1 Year after Completion of Post Season Audit	OFM
93 09 53038	<b><i>Tickets: Year End Stock</i></b> Paper stock used for the printing of football and basketball tickets. May include printed or voided tickets. Audited at the end of each season.	Retain for 6 Months after Audit	OFM

**/14/05/**

**ICA: Marketing and Corporate Sales**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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03 11 60604

***Permission Letters***

Generated to ask for or grant permission for a student athlete to be contacted for the purpose of transferring between NCAA sports programs. The letters may be requested by the University of Washington, student-athletes, coaches, or members of the other universities involved. These letters are written to comply with NCAA rules regarding the Eligibility One-Time Transfer Exception.

Retain for 6 Years after  
End of Academic Year

OPR

**/14/06/**

**ICA: Training Room**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 02 45858r2.R4

***Athlete Medical Files (Expired)***

Provides record of medical history for each UW athlete. May include medical history, HIPAA form, injury report forms, notes, registration forms, correspondence, therapy records, progress notes, doctor visits, physical examinations, consent forms for medical procedures and acknowledgement of potential injury forms.

Retain for 7 Years after  
End of Eligibility

OPR

90 02 45868r2.R4

***Athlete's X-Rays***

Provides record of x-rays taken for an injured athlete.

Retain for 7 Years after  
End of Eligibility

OPR

90 02 45859r2.R4

***Sports Injury Monitoring System (SIMS)***

Tracks athletes by sport and status. Includes diagnosis, medical arrangements, medication logs, parent contact information, and daily summary for each sport of athletes' status for practice (i.e. full activity, limited activity or no activity for each participant).

Retain for 7 Years after  
End of Academic Year

OPR

**/14/07/**

**ICA: Student-Athlete Services**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52092r2.R4	<b>Academic Files</b> Documents academic counseling provided by advisors in Student Athlete Academic Services. As the primary source of advisement a student athlete receives until a major is declared, departmental counselors ensure that student athletes meet academic standards required for graduation. Series includes counselor's reports, correspondence, transcripts, etc.	Retain for 6 Years after Last Contact	OPR

**/14/08/**

**ICA: Head Football Coach**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52066	<b>Bowl Notebooks</b> Provides a record of specific strategies used in response to opponents at bowl games. Also documents arrangements made for bowl games. Includes game plans, practice plans, meeting notes, itineraries, plane lists, team rosters, etc.	Retain for 2 Years after End of Game	Potentially Archival OFM
93 03 52067	<b>Fall Notebooks</b> Provides a record of planning for the upcoming season. Includes practice plans, notes of meetings with coaches, notes of meetings with the football team, notes of meetings with seniors, etc.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52065	<b><i>Game Plans</i></b> Provides a record of individual game strategies in direct response to a specific opposing team. Also documents arrangements made for each game. Includes dressing, itinerary, plane lists, team rosters, etc.	Retain for 2 Years after Season	Potentially Archival OFM
93 03 52064	<b><i>Playbooks</i></b> Provides a record of play strategies for each position. Playbooks are updated on a yearly basis.	Retain for 2 Years after Season	Potentially Archival OFM
93 03 52062	<b><i>Players Files</i></b> Provides a record of the current football team and of individual students who have associated themselves with the team. May include: student questionnaire, correspondence, notes, letters of recommendation, etc.	Retain for 5 Years after Last Contact	OFM
93 03 52063	<b><i>Players Files--Completed Eligibility</i></b> Provides a record of individual members of the football team who have completed their eligibility. May include: correspondence, notes, student questionnaire, etc.	Retain for 5 Years after Last Contact	OFM
93 03 52068	<b><i>Spring Notebooks</i></b> Provides a record of continued planning for the season. Includes practice plans, notes of meetings with coaches, notes of meetings with the football team, notes of meetings with seniors, etc.	Retain for 1 Year after End of Calendar Year	OFM

## **/14/10/ ICA: Compliance**

*Intercollegiate Athletics*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 12 68378	<b><i>ICA: Investigations</i></b> This record documents investigations regarding a coach, student, or program. If findings result in a violation, the record becomes a Violation record.	Retain for 10 Years after Investigation Completed /Final Action Taken	
93 03 52099	<b><i>ICA: Squad Lists</i></b> Updated on a monthly basis, this series documents student athletic careers and team participation at the University of Washington.	Retain for 10 Years after Superseded	Archival
93 03 52102r1.R2	<b><i>ICA: Student Compliance File</i></b> This record contains all documentation needed to demonstrate compliance with NCAA and/or PAC 12 rules including recruiting (official visits, unofficial visits, camps, and email/electronic contact with the recruit, etc.), initial eligibility, and financial aid (including letter of intent and UW award letter). This record also contains all required code of conduct records. If the student does not graduate and the student received an aid package, this record turns into Student Compliance File-APR Points	Retain for 10 Years after Graduation or Last Contact	
12 12 68379	<b><i>ICA: Student Compliance File-APR Points</i></b> Created when student received an aid package but left the University without graduating. These students may return anytime in the future to complete their degree which positively affects the APR points awarded the University.	Retain for 10 Years after Graduation or Last Contact	
12 12 68380	<b><i>ICA: Violations</i></b> This record documents investigations which resulted in a NCAA and/or PAC 12 violation and its resolution	Retain for 10 Years after Sanction Received	Potentially Archival
12 12 68381	<b><i>ICA: Waivers</i></b> These record documents any type of waiver requested but not necessarily granted by the University for a coach, staff member, player or program.	Retain for 10 Years after End of Academic Year	

*Registrar, Undergraduate Admissions, Student Financial Aid, and other Student Support Services*

**/15/01/**

**Registrar's Office: Administration**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 53035r1.R7	<b><i>Correspondence with Students and Applicants -- Routine</i></b> Provides record of routine registration and information requests from students and applicants.	Retain for 2 Years after End of Quarter	OFM
93 09 53036r1.R7	<b><i>Fraud Files</i></b> Provide record of cases of fraud related to student records such as fraudulent diplomas, grades, transcripts, etc. Includes correspondence, background/support documentation, copies of materials, etc.	Retain for 6 Years after Case Resolved	OPR
93 09 53034	<b><i>Registration Petitions</i></b> Records relating to student requests to the Registrar's Office for a change to their status or fee requirements within a single quarter. Includes petitions for hardship withdrawals to drop a class, requests to modify and/or correct student records, and petitions to waive or refund late registration fees, change of registration fees, or confirmation of enrollment deposits.	Retain for 6 Years after End of Quarter	OPR

**/15/01/01/**

**Office of Business Services and Veterans' Affairs**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52108r1.R5	<b><i>English as a Second Language (ESL) Program Files</i></b> Provides a record used to evaluate a student for placement in the Academic English ESL program. Files track and monitor the fulfillment of ESL admission requirements by students whose native language is not English. This program is for ESL students who are pursuing an academic degree from the University. The actual classes are taught by Educational Outreach, but all administration and student information is maintained by Special Services. Files include Delay Requests, diagnostic results, copy of TOEFL Test results, copy of Michigan Lang. Test results, in-class pretests (to waive the requirement), SPEAK Test results, etc.	Retain for 2 Years after Graduation or Last Activity	OFM
93 03 52110r1.R5	<b><i>Financial Aid Authorization &amp; Disbursement Lists -- Year End List</i></b> Provides a cumulative year-end listing generated by Student Accounts & Scholarships (RG# 09.06.00) of students receiving scholarships. Includes amount of tuition exemptions and reductions.	Retain for 2 Years after End of Fiscal Year	OFM
93 03 52115r1.R5	<b><i>National Merit Scholarship and UW Undergraduate Scholar Award Files</i></b> Provides a record of student applications for the National Merit Scholarship and UW Undergraduate Scholars. Includes applications, award letters, and other routine correspondence.	Retain for 6 Years after End of Academic Year	OPR
86 1 35836r3R7	<b><i>Veterans and Dependents Folders</i></b> Provides a record of veterans and/or their dependents who are receiving veterans' educational benefits. Includes: Certificate of Eligibility, Credit Evaluation, Enrollment Certification, Notice of Status Change, Kardex summary, correspondence, etc. This information is audited annually by the Veterans Administration.	Retain for 6 Years after Graduation or Last Activity	OPR

**/15/01/02/**

**Registrar's Office: Data Services**

Registrar



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36940	<b><i>Permanent Student Record (Student Database)</i></b> Provides record of academic history of a student. Includes transcript, and personal information. Maintained on computer database, backed up on magnetic tape each night, and microfilmed at the end of each year. A copy of the microfilm is retained on site and another copy is retained off site. (For records of students who graduated prior to 1983 or who enrolled prior to 1976, see microfilm of paper records listed on RG #15.01.01.)	Retain for 9999 Years after End of Academic Year	OPR
97 08 57908	<b><i>Special Data Studies, Permanent</i></b> Special statistical studies prepared with data from the Student Database that may contribute to the study and analysis of the effectiveness of University programs. Includes comparative longitudinal studies.	Retain for 10 Years after End of Quarter	Archival OFM
<b>/15/01/03/ Registrar's Office: Residence Classification Office</b> <i>Registrar</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 05 61505	<b><i>Graduate/Professional Waivers - Approved</i></b> Provides a record of non-resident students requesting a waiver for non-resident tuition. The forms must be renewed for each academic year the student attends the University.	Retain for 6 Years after End of Academic Year	OPR
93 09 53058r2.R0	<b><i>Residence Classification Appeal</i></b> Provides record of student appeal to the Residence Classification Review Committee regarding denial of resident classification for tuition purposes.	Retain for 3 Years after End of Calendar Year	OFM
93 09 53059r3R1	<b><i>Residence Classification Change from Non-Immigrant to Immigrant</i></b> Provides a record of the reclassification of a student who previously had only a non-immigrant visa to a permanent resident.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 53060r2.R0	<b><i>Residence Classification Citizenship Change</i></b> Provides a record of the reclassification of a student who is in the process of applying for citizenship. May include correspondence, Certificate of Naturalization, etc.	Retain for 1 Year after End of Calendar Year	OFM
93 09 53063r2.R0	<b><i>Residence Questionnaire -- Approved</i></b> Provides a record of a student classified as a resident for tuition purposes. Also includes all 1079 Forms.	Retain for 6 Years after End of Calendar Year	OPR
93 09 53064r2.R0	<b><i>Residency Code Changes Quarterly Report</i></b> Provides a quarterly listing of students reporting a change in residency status for tuition purposes.	Retain for 2 Years after End of Quarter	OFM

## **/15/01/04/ Registrar's Office: Graduation and Academic Records**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36955r2.R1	<b><i>Application for Credit by Exam</i></b> Provides record of student application and eligibility to take exams for credit without enrolling in a course.	Retain for 1 Year after End of Quarter	OFM
93 09 53001	<b><i>Diploma Replacement Order</i></b> Provides record of request for a replacement diploma. Form is signed by former student, and signature is compared with signature on Diploma Card. Form includes payment amount received.	Retain for 6 Years after End of Quarter	OPR
93 09 53002r1.R4	<b><i>Diplomas -- Not Received</i></b> Provides record of diplomas not retrieved by the students who earned them.	Retain for 2 Years after End of Academic Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 09 53005r2R5	<b>Registration Changes (Non-Star Transaction Form B)</b> Provides record of registration change after the end of a quarter.	Retain for 1 Year after End of Quarter	OFM
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86 6 36936r1.R1	<b>Scholarship Reports</b> Provides quarterly listing of students receiving scholarships. May include Low Scholarship Reports, Yearly High Scholarship List, Undergraduate Scholarship by Major, etc.	Retain for 1 Year after End of Quarter	OFM
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## **/15/01/06/ Registrar's Office: Registration and Transcripts Office**

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 09 52990r2R5	<b>Late Add Registration Authorization</b> Provides record of courses approved for adding after tenth class day.	Retain for 5 Months after End of Quarter	OFM
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09 07 62070	<b>Permit to Register for Out of Quarter Course (Out-of-Quarter Card)</b> Provides record of authorization from a department for a student to register in a course that is approved for a quarter but not offered in the Time Schedule.	Retain for 1 Year after End of Quarter	OFM
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86 6 36946r1R5	<b>Transcript Order Form</b> Provides authority by student to issue transcript.	Retain for 1 Year after End of Month	OFM
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**/15/01/07/**

## **Registrar's Office: Time Schedule and Room Assignments**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36959	<b><i>Request for Room Assignment -- Non-Credit Courses</i></b> Provides record of requests for assignment of rooms.	Retain for 1 Year after End of Quarter	OFM
86 6 36960r1.R1	<b><i>Room Assignments</i></b> Provides record of rooms assigned for classes. Previous to Winter 1993 this record was in the form of a card. Beginning Winter 1993 this record is a computer record.	Retain for 2 Years after End of Quarter	OFM
93 09 52981	<b><i>Time Schedule</i></b> Provides quarterly listing of courses offered at the UW.	Retain for 3 Years after End of Quarter	Archival OFM

**/15/01/09/**

## **Registrar's Office: Degree Audit Reporting System (DARS)**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 11 59376	<b><i>DARS Batch Report - Online</i></b> Report identifies which classes fit into particular requirements for a student's major or area of studies and which areas require additional classes. Reports can be printed into hardcopy format when requested.	Retain for 3 Months after Report Run	OFM

/15/01/10/

## Registrar's Office: General Catalogue and Curriculum

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 03 60056	<b><i>Curriculum Proposals -- Approved</i></b> Provides documentation of the planning and development of approved academic course or program. Includes Course Change Applications, New Course Applications, departmental proposals and supporting papers (course or program descriptions, faculty data, etc) as well as UoW 1503, Creating and Changing Academic Programs Form. Kuali Student Curriculum Management module will be the system of record for these proposals.	Retain for 2 Years after Course Dropped	Archival OFM
01 03 60057	<b><i>Curriculum Proposals -- Denied</i></b> Provides documentation of the planning and development of denied academic courses or programs. Includes Course Change Applications, New Course Applications, departmental proposals and supporting papers (course or program descriptions, faculty data, etc.) Kuali Student Curriculum Management module will be the system of record for these proposals.	Retain for 2 Years after End of Academic Year	OFM
93 09 52982r1.R0	<b><i>Curriculum Report (Quarterly)</i></b> Provides comprehensive computer listing (by department and course number) of all approved courses currently offered by academic departments. Kuali Student Curriculum Management module will be the system of record for this information.	Retain for 3 Years after End of Quarter	Archival OFM

/15/01/11/

## Registrar's Office: Registrar's Processing Center

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 52973r1R3	<b>Daily Transcript Order Recap Summary</b> Provides a summary of all transcripts generated from the Student Database each day. Report is generated by the Registrar's Office Data Management Services, RG# 15.01.02 and retained by this office for administrative purposes.	Retain for 1 Year after End of Month	OFM
04 11 60789	<b>Non-Sufficient Fund Reports</b> Provides a record of non-sufficient fund reports and correspondence requesting payment.	Retain for 1 Year after End of Fiscal Year	OFM
06 03 61122r1R3	<b>U.S. Authorization for Release of Information</b> Form used by the FBI and other federal investigators to obtain information for security checks.	Retain for 1 Year after End of Month	OFM

**/15/01/12/**

## **Registrar's Office: Data Management**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 08 57915	<b>HEER Report</b> Derived from the Student Database, provides a record of statistical information regarding UW students which is used by OFM to draw tuition and state funding models. A copy of this report is distributed to OFM.	Retain for 10 Years after Final Report Completed/Submitted	Archival OPR

**/15/02/**

## **Vice Provost for Student Life: Administration**

*Student Life Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 09 57044	<b><i>Cabinet Minutes</i></b> Provides a record of meetings of the President's Cabinet. Documents actions and decisions.	Retain for 10 Years after End of Calendar Year	Archival OFM
96 09 57045	<b><i>Disciplinary Cases</i></b> A record of investigations and disciplinary actions taken pursuant to the Student Conduct Code (WAC 478-120). (Retention as per WAC 478-120-145 (3)).	Retain for 7 Years after Disciplinary Action Taken	OPR
98 06 58531	<b><i>Student Incident Reports</i></b> Provides a record of an incident(s) or information that has been reported to this office involving one or more students, and which may or may not have concluded with a formal investigation.	Retain for 7 Years after Incident Resolved	OPR

**/15/05/**

## Office of Student Financial Aid

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41387	<b><i>Account Reconciliation Files</i></b> Provides a record of reconciliations on accounts handled by the Financial Aid Office, including loans, scholarships and grants from Federal, State and/or private funds. Accounts are listed by budget number.	Retain for 3 Years after End of Fiscal Year	OFM
88 1 41413r1R7	<b><i>Award Administration Files</i></b> Provides record of UW applications for state and federal financial aid funds. Includes applications, award notifications, correspondence, program reports, etc.	Retain for 3 Years after End of Award Year in Which Aid was Granted	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41406r1.R4	<b><i>Categoric Scholarship Applications/Nominations</i></b> Provides record of applications for scholarships awarded to students who do not receive financial aid but who qualify in a particular category for a scholarship that is not based on financial need. Records indicate those students nominated to receive scholarships.	Retain for 1 Year after End of Academic Year	OFM
91 11 49398r1.R4	<b><i>Correspondence -- Routine</i></b> Provides record of routine correspondence related to scholarships, Work-Study and student employment.	Retain for 1 Year after End of Fiscal Year	OFM
88 1 41402r2R7	<b><i>Federal Work-Study Reconciliation File</i></b> Provides a record of the request for federal Work-study funds as well as a monthly record of expenditures from those funds. May include reconciliation working papers, cash requests, journal voucher requests, correspondence, etc.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
89 1 43561r4R8	<b><i>Financial Aid Applications -- Awarded</i></b> Provides information required to determine eligibility for student financial aid. Individual folders may include materials collected through a sampling of students as part of a quality assurance program.	Retain for 5 Years after End of Award Year in Which Student Last Attended	OFM
88 1 41382r2R7	<b><i>Financial Aid Applications -- No Aid Received</i></b> Provides information required to determine eligibility for financial aid for students who did not receive aid.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OFM
88 1 41383r2.R7	<b><i>Financial Aid Applications -- Not Admitted</i></b> Provides information required to determine eligibility for receipt of financial aid for applicants who were not admitted as students to the UW during the award year.	Retain for 1 Year after End of Award Year in Which Not Admitted	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41391r3.R8	<b><i>Fiscal Operations Report and Application to Participate (FISAP)</i></b> Annual report submitted to the federal government to allow UW participation in three federal student financial aid programs: the Perkins Loan, Supplemental Educational Opportunity Grant and College Work Study Programs. Provides information on previous year's award and request for award in the upcoming years.	Retain for 5 Years after End of Award Year in Which Report was Submitted	Archival OPR
88 1 41394r1.R4	<b><i>Fund File Status</i></b> Provides weekly report of current fund commitments for each financial aid fund.	Retain for 1 Year after End of Fiscal Year	OFM
88 1 41395r2R7	<b><i>Job Referral Forms</i></b> Provides record of federal and state Work-Study positions offered by employers, and the student employees hired into those positions.	Retain for 3 Years after End of Academic Year	OPR
88 1 41397r2R7	<b><i>Off-Campus Employer File</i></b> Provides record of employers off-campus who employ financial aid students through state or federal programs. May include Work-Study contracts, correspondence, job announcements and descriptions, and notations of students hired.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
88 1 41400r2R7	<b><i>Off-Campus Payroll Vouchers</i></b> Provides record of a Work-Study student's hours worked, supervisor and student certification, and reimbursement request for federal and state agreement employers.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
88 1 41396r2R7	<b><i>On-Campus Job Descriptions</i></b> Provides description of state or federal Work-Study job within a UW department. Includes supervisor's name and payroll contact.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41398r2R7	<b><i>On-Campus Time Sheets</i></b> Provides record of student hours worked, and both supervisor and student verification of those hours, for students awarded either state or federal Work-Study aid.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
88 1 41390	<b><i>Outside Aid List</i></b> Provides listing of students who receive additional aid from sources outside of the UW financial aid system. Required for monitoring purposes.	Retain for 1 Year after End of Fiscal Year	OFM
88 1 41393	<b><i>Packaging Aid Resources</i></b> Provides record of awards made to financial aid students through the automated fund awarding system. May include reports and student rosters.	Retain for 3 Years after End of Fiscal Year	OFM
88 1 41385r2R7	<b><i>Pell Grant Records</i></b> Provides documentation to reconcile expenditures and repayments to the Pell (federal) account. May include recipient rosters, federal reports on program expenditures and repayment information.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
88 1 41405r2R7	<b><i>Scholarship Applications</i></b> Documents students' eligibility for and compliance with program requirements for scholarships (federal or state programs).	Retain for 3 Years after End of Award Year for Which Aid was Awarded	OPR
88 1 41404r1.R4	<b><i>Scholarship Files (Donor)</i></b> Provides record of scholarships administered by the Financial Aid Office. May include administrative requirements, notations of donations received, copies of wills, correspondence, etc.	Retain for 5 Years after Funds Dispersed	Potentially Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41401r2R7	<b><i>State Work-Study Request and Reconciliation File</i></b> Provides a record of the request for state Work-Study funds, as well as a monthly record of expenditures from the funds. May include reconciliation working papers, cash requests, journal voucher requests, correspondence, etc.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR
88 1 41389r2R7	<b><i>Student Electronic Record</i></b> Provides electronic record of financial aid applicants and recipients in the financial aid database. Along with Financial Aid Applications -- Awarded, provides a comprehensive view of student eligibility. Contains student data that is not found in the paper file. COM may be produced periodically.	Retain for 4 Years after End of Award Year in Which Aid Was Last Awarded	OPR
88 1 41392r2R7	<b><i>Unit Record Report</i></b> Annual report submitted to the Higher Education Coordinating Board concerning demographic distribution of financial aid, and the State College Work Study Program.	Retain for 3 Years after End of Award Year in Which Report was Submitted	OPR

**/15/05/01/**

## Childcare Coordinating Office

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 03 50120	<b><i>Appeals -- Non-Committee</i></b> Provides record of administrative consideration of students who were awarded childcare assistance but who lost eligibility. May include correspondence, information documenting financial need of students, etc.	Retain for 6 Years after End of Fiscal Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 03 50121	<b><i>Appeals to Childcare Committee</i></b> Provides record of committee consideration of students who did not receive childcare award. May include correspondence, information documenting financial need of students, decisions of the committee regarding the appeals, etc.	Retain for 6 Years after End of Fiscal Year	OFM
92 03 50122r1R2	<b><i>Award Updates</i></b> Provides listing of which students were awarded funds for childcare, amounts awarded, and which were not awarded and the reasons for those decisions.	Retain for 6 Years after End of Fiscal Year	OFM
09 12 62163	<b><i>Center Rates Survey and Fee</i></b> This series is a report received from Department of Early Learning which provides a listing of the costs associated with each childcare center in King County. Used to determine the rates at which students will be funded.	Retain for 6 Years after End of Calendar Year	OPR
92 03 50124	<b><i>General Ledgers</i></b> Provides record of all requests for payments to students for advance childcare awards, and all payments from students whose childcare award exceeded their expenses. Consists of one sheet for each student receiving assistance in an award year, and includes date and amount of each transaction.	Retain for 6 Years after End of Fiscal Year	OPR
92 03 50139r1R2	<b><i>SAF Program Requests</i></b> Provides record of requests for funds from Services & Activities Fees from eligible programs such as Hall Health, Student Unions, Ethnic Cultural Center, Recreational Sports Programs, etc. May include correspondence, reports, statistics, budget materials, etc.	Retain for 6 Years after End of Fiscal Year	Potentially Archival OFM
92 03 50133	<b><i>Survey/Questionnaire Reports</i></b> Provides record of the compilation of individual responses to surveys and questionnaires produced or conducted by the Childcare Coordinating Office. Includes sample blank survey form and report of results.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 03 50134	<b><i>Survey/Questionnaire Responses</i></b> Provides record of individual responses to surveys and questionnaires produced or conducted by the Childcare Coordinating Office; for example, surveys of students or childcare providers regarding the program. (Sample blank survey and the report compiling responses is included in Records Series #15.)	Retain for 1 Year after Results Compiled	OFM

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**/15/06/01/ Health and Wellness: SARIS (Sexual Assault and Relationship Violence Information Service)**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 09 62319	<b><i>Intake Checklist</i></b> This series provides a record of individuals seeking support or resources for issues surrounding sexual assault, stalking, or relationship violence that is collected on a checklist. May include name, purpose of visit, plan of action, etc.	Retain for 6 Years after Intake Session Concluded	OPR

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**/15/07/ Counseling Center**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 3 41748r3R4	<b><i>Client Information Database</i></b> This database tracks and monitors client contact and consultation progress. May include appointments, test results, release of information sheets, etc. In September 2008, the Client Folders became electronic.	Retain for 8 Years after Last Contact	OPR

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**/15/08/**

## Disability Resources for Students

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 10 58837r1R5	<b>Student Disability Files</b> Files consist of diagnostic reports from treatment providers regarding temporary and/or long term disability(ies), records of the history of accommodations requested/offered, correspondence and notes relevant to the provision of accommodation.	Retain for 6 Years after Graduation or Last Contact	OPR
89 11 45165r5R5	<b>Student Services and Program Files</b> This series provides a record of the services, such as interpreting, note taking, etc, utilized by a student during the quarter. May include request from student for service, planning files, etc. Also included are the program files which contain testing logs, room assignment requests, supplemental notes, and information specific to each type of service/accommodation program, etc.	Retain for 6 Years after End of Quarter	OPR

**/15/09/**

## Recreational Sports Programs: Administration

### Student Programs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51596	<b>Accident Reports -- Claim Filed</b> Provide record of accidents at IMA facilities for which a claim was filed against the UW.	Retain for 6 Years after Claim Resolved	OPR
92 12 51597	<b>Accident Reports -- No Claim Filed</b> Provide record of accidents at IMA facility for which no claim was filed.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51598r1.R1	<b><i>Armored Transit Slips</i></b> Provide verification of currency and checks sent to the bank by way of armored vehicle.	Retain for 6 Years after End of Month	OPR
01 12 60302	<b><i>Equipment Issue Cards</i></b> Provides a record of participant using Recreational Sports equipment. Includes name, phone number, address, UW ID and a signature stating they have received this equipment and will be charged if lost, stolen or damaged significantly	Retain for 6 Years after End of Quarter	OPR
92 12 51602	<b><i>Fine Cards -- Paid Accounts</i></b> Provide record of paid accounts for fines levied to IMA facility users for delinquent returns of or damage to equipment, etc. Also includes UW Invoice.	Retain for 6 Years after End of Month	OPR
92 12 51605	<b><i>Incident Reports</i></b> Provide record of incidents such as fights or damage to the IMA facilities.	Retain for 6 Years after End of Calendar Year	OPR
92 12 51613r1.R1	<b><i>Theft Reports</i></b> Provide record of thefts at IMA facilities.	Retain for 6 Years after End of Calendar Year	OPR

## **/15/09/01/ Recreational Sports Programs: Intramurals**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51591r1.R2	<b><i>Game Sheets</i></b> Provide record of team, fouls, etc. for each player on an intramural team and the score for each game.	Retain for 5 Years after End of Quarter	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
82 12 51592r1.R1	<b><i>Intramural Incident Files</i></b> Provides records of fights or disturbances at intramural sports activities. Includes the official copy of student disciplinary correspondence, game sheets, team rosters, witness testimonies and supporting documentation.	Retain for 6 Years after End of Calendar Year	OPR
92 12 51589r3R3	<b><i>Intramural Rosters</i></b> Rosters for Intramural teams or individual sports participants. Includes student application for joining intramural teams. Rosters are used to identify eligibility of individuals participating in the program.	Retain for 5 Years after End of Quarter	OFR
92 12 51593	<b><i>Photos of Championship Teams</i></b> Provide photographic record of the winners of championship games.	Retain for 5 Years after End of Quarter	Archival OFR

**/15/09/02/**

## Recreational Sports Programs: Sport Skills and Sport Clubs

### Student Programs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51578r2R2	<b><i>Class Waiting Lists</i></b> Provide record of individuals who would like to register for a sports skills class but who cannot register until there is an available space in the class.	Retain for 1 Year after End of Quarter	OFR
01 09 60249	<b><i>Equipment Issue Card</i></b> Provides a record of participant using Recreational Sports equipment. Includes name, phone number, address, UW id and a signature stating they have received this equipment and will be charged if lost, stolen or damaged significantly.	Retain for 6 Years after End of Quarter	OFR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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07 12 61669	<b><i>Indoor Climbing Center Inspection Logs</i></b> Record of regular inspections done on the facility and equipment associated with the Indoor Climbing Center. Inspections on ropes are done daily; harness inspections are conducted monthly; and carabineers and belays are inspected weekly.	Retain for 6 Years after End of Calendar Year	OPR
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92 12 51577r2R2	<b><i>Sports Skills Class Rosters</i></b> Provide record of participants in sports skills classes.	Retain for 1 Year after End of Quarter	OFM
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## **/15/09/03/ Recreational Sports Programs: WAC and Golf Driving Range**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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92 12 51566	<b><i>Boat Storage Contracts</i></b> Provide record of lease agreements for moorage space for private boats on WAC facility property.	Retain for 6 Years after Termination of Contract	OPR
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92 12 51570r1.R1	<b><i>Golf Class Cards -- Audit Copy</i></b> Provide record of class registration for participants in golf instruction. Each card includes participant name, address, identification number, emergency contact, and method of payment.	Retain for 6 Years after End of Quarter	OPR
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92 12 51585r1.R1	<b><i>WAC Room Rental Reservations</i></b> Provide record of the rental of WAC facility rooms. Include information about the group renting the room, and payment information.	Retain for 6 Years after End of Month	OPR
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**/15/10/**

## **Housing and Food Services: Administration**

*Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 05 40042r1R6	<b><i>Amendment Items</i></b> Provides record of information regarding changes in residence hall rates submitted to the Board of Regents for approval. Includes policy change requests.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM

**/15/10/01/**

## **Housing and Food Services: Accounting Services**

*Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 5 40067r2R3	<b><i>Annual Audited Report (Internal Financial Statement)</i></b> Provides audited financial statement used for long term trend analysis.	Retain for 20 Years after Administrative Purpose Served	OFM
01 05 60074	<b><i>Audit Working Papers</i></b> Provides a record of material created to assist and track in the University annual internal audit of this office. Includes audit schedules, interest income worksheets, balance sheet accounts, food inventory count sheets, etc.	Retain for 6 Years after End of Fiscal Year	OPR
01 05 60077	<b><i>Credit Card Reconciliations</i></b> Provides monthly reconciliation of credit card activity to U.S. Bank account.	Retain for 6 Years after End of Month	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 5 40071r4R6	<b><i>Daily Cash and Credit Card Batch</i></b> Provides a record of payments (cash and credit card) applied against accounts. Represents payments received at the HFS Cashier's Office. Includes cash transmittal, payment on account forms, receipts, remittance advice, credit card refunds, cash refunds, POAs, remittance advice, on-line cash, Lockbox Receipts, Financial Aid Receipts, non-cash batches (refunds, adjustments and corrections made to posting errors) etc.	Retain for 6 Years after End of Fiscal Year	OPR
01 05 60075	<b><i>Daily Packet--Desk/Food</i></b> Provides a record of daily revenue received from the 4 desk locations as well as a record of daily food sales revenue. Includes Z tapes, correction sheets/void sheets, cash count worksheet, daily sales reports for meal card activity, copy of cash transmittal for credit card transactions and to document daily deposit amount.	Retain for 6 Years after End of Fiscal Year	OPR
87 5 40066r2R3	<b><i>Monthly Financial Statement (Internal Financial Statement)</i></b> Provides monthly analysis of financial activity. Used to support the Annual Audited report.	Retain for 2 Years after End of Fiscal Year	Potentially Archival OFM
87 5 40050	<b><i>Vending Commission Reports</i></b> Provides verification from the vendor of amounts collected from each vending machine.	Retain for 6 Years after End of Fiscal Year	OPR

## **/15/10/04/ Housing and Food Services: Husky Card Account and ID Center**

### *Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 7 40324r3R5	<b><i>Conference and Guest Accounts</i></b> Provides record of amounts credited and used by conference attendees.	Retain for 6 Years after Account Closed	OPR

## **/15/10/05/      Housing and Food Services: Residential Life**

### *Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 04 61136r1R2	<b><i>Disciplinary Statistics</i></b> Provides a record of the number of investigations and disciplinary actions taken in pursuant of Student Conduct Code (WAC 478-120) and under the Residence Hall System Contract. These statistics only include the number of investigations, type of infraction, date, etc. There is no student or personal information contained within this series.	Retain for 10 Years after End of Calendar Year	Archival OPR
99 01 58988r1R2	<b><i>Priority Documentation</i></b> Documentation, in electronic format, concerning incidents in the residential halls (i.e. fire alarm notices, accidents, personal accidents, or emergency maintenance work). Includes incident, report of activities causing incident, response and corrective actions.	Retain for 6 Years after End of Academic Year	OPR
99 01 58989r2R2	<b><i>Program Activity Reports</i></b> Reports in electronic format of social and educational activities occurring at residence halls. Includes what event was held and number of people attending. May include feedback on event or comments from organizations.	Retain for 2 Years after End of Biennium	Potentially Archival OFM

## **/15/10/06/      Housing and Food Services: University Catering Services**

### *Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 04 61137	<b>Email Order Form</b> Provides a record of the initial request by a client for use of the University of Washington Catering Services. Contains event, contact, and menu information. A copy of this email is printed off and maintained with the signed contract.	Retain for 1 Year after End of Month	OFM

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**/15/10/07/ Housing and Food Services: Cashier's Office**

*Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 5 40047r2.R0	<b>Auditor's Envelopes, Cash Office</b> Provides a record of total revenue generated from Daily Food Services and Residence Desks. Includes Residence Desk deposit totals, cash count slips, armored transport shipping totals and receipts, and area delivery totals.	Retain for 6 Years after End of Fiscal Year	OPR
99 11 59441	<b>Auditor's Envelopes, Desks</b> Provides a record of total revenue generated from Husky accounts, cummins tapes, cash register journal tapes from Lander Cash Office and Student Services, deposit receipts, vending receipts, and special deposits (polling).	Retain for 6 Years after End of Fiscal Year	OPR
87 5 40056r1.R0	<b>Beginning Bank Log</b> Comprised of a log which provides a record of the amount of monies sent to individual units (areas and desks) each day.	Retain for 6 Years after End of Fiscal Year	OPR
99 11 59442	<b>Catering Check Log</b> A log which is used to track blank checks used by Catering. Includes check #, date, signatures of individuals receiving and releasing checks.	Retain for 6 Years after End of Fiscal Year	OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 11 59443	<b><i>Change Fund Log</i></b> Log which provides a record of bags of additional rolls of coin provided to each unit.	Retain for 6 Years after End of Fiscal Year	OPR
93 05 52279r3R1	<b><i>Daily Master Deposit and Cash Transmittals</i></b> Provides a daily record of each day's deposits, broken down by unit, budget number, and cost center. Includes signatures of the two people who verified each deposit and the deposit slip from bank confirming deposit of funds and deposit count verification forms for coin purchase payments.	Retain for 6 Years after End of Fiscal Year	OPR
87 5 40054r1.R0	<b><i>Master Vault Audit</i></b> Provides a record of the daily vault reconciliation. Includes information pulled from the Beginning Bank Log as well as the Change Fund Log.	Retain for 6 Years after End of Fiscal Year	OPR
87 5 40052r1.R0	<b><i>Petty Cash Funds</i></b> Provides a record of the distribution of petty cash funds held by the Cashier's Office as well as a record of cash received from the central University Petty Cash Office. Includes copy of UW Petty Cash Voucher, reconciliations, check stubs.	Retain for 6 Years after End of Fiscal Year	OPR
99 11 59448	<b><i>Smart Card Logs</i></b> Comprised of logs used to track sales of individual Smart Cards. Includes account number for each Smart Card purchased as well as name and address of purchaser. (Smart Cards can be programmed to represent any amount of credit, up to \$40, chosen by the purchaser.)	Retain for 6 Years after End of Fiscal Year	OPR
99 11 59445r1R1	<b><i>Vending Revenues</i></b> Received from a Housing and Food Services accountant, provides a breakdown of how revenue received from vending machines is to be distributed.	Retain for 2 Years after End of Fiscal Year	OFM

## **/15/10/08/ Housing and Food Services: Student & Desk Services**

### *Housing and Food Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 7 46404r2R0	<b><i>Night Lockout Call Files</i></b> Provides a listing of resident requesting lockout services and the amounts charged to their account. Note: charge information is sent to H&FS: Accounting Services.	Retain for 1 Year after End of Calendar Year	OFM

## **/15/13/01/ Student Activities & Union Facilities: Accounting Office**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61678	<b><i>Event Ticket Pickup Log</i></b> This series provides a record of event tickets provided to students. The office does not host the event and is performing this service as a courtesy to the organization hosting the event.	Retain for 2 Years after End of Month	OFM
07 12 61677	<b><i>New York Times Subscription Form</i></b> This series provides a record of staff/faculty or students requesting a subscription to the New York Times. The subscriber information is emailed to the NY Times and the original form is kept in the office.	Retain for 2 Years after End of Month	OFM

## **/15/13/04/ Experimental College (ASUW)**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 01 51784	<b><i>Budget Requests</i></b> Provide duplicate record of budget requests submitted to the ASUW and retained by the Student Activities Office.	Retain for 2 Years after End of Biennium	OFM
93 01 51793	<b><i>Course Proposal Packets -- Unaccepted</i></b> Provide record of rejected proposals for courses submitted by instructors. (Accepted proposals are filed in the Instructor Files.)	Retain for 1 Year after End of Quarter	OFM
93 01 51794	<b><i>Course Proposals Accepted-- Master List</i></b> Provides master listing each quarter of course proposals which have been accepted. Used for information prior to publication of the course catalog.	Retain for 2 Years after End of Quarter	OFM
93 01 51795	<b><i>Facilities Masterlist</i></b> Provides record of room assignments for Experimental College classes for each quarter.	Retain for 1 Year after End of Quarter	OFM
93 01 51797	<b><i>Instructor Discipline Log</i></b> May include correspondence, or notes about complaints regarding instructors.	Retain for 6 Years after End of Calendar Year	OFM
93 01 51798	<b><i>Instructor Feedback Forms -- Individuals</i></b> Provide record of the evaluation of a particular instructor by a participant in an Experimental College class. (Ratings from these individual forms are compiled into an Instructor Feedback Summary which is retained in the Instructor File for 6 years after termination of Instructor Agreement.)	Retain for 1 Year after Termination of Instructor Agreement	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 01 51799	<b><i>Instructor Files</i></b> Provide record of instructors teaching Experimental College classes. Include correspondence, interview notes, sample of class handouts, course outlines, course proposals, credential forms, Instructor Agreements, Instructor Feedback Summaries, etc. (Records of instructors whose course proposals are not accepted are included in records series "Course Proposal Packets -- Unaccepted".)	Retain for 6 Years after Termination of Instructor Agreement	OPR
93 01 51800	<b><i>Instructors Interviewed and Rejected List</i></b> Provides listing of instructors applying to teach classes through the Experimental College, who were interviewed but not accepted.	Retain for 2 Years after End of Quarter	OFM
93 01 51801	<b><i>Instructors Not Interviewed List</i></b> Provides a listing of instructors applying to teach classes through the Experimental College but who were not interviewed.	Retain for 2 Years after End of Quarter	OFM
93 01 51802	<b><i>Low Enrollment Log</i></b> Provides record of form-letters sent to instructors regarding low enrollment in their classes. Includes a sample of each form-letter accompanied by a listing of the instructors who received each letter. (Form-letter samples should be retained for Archives.)	Retain for 2 Years after End of Quarter	Potentially Archival OFM
93 01 51803	<b><i>Low Enrollment Reviews</i></b> Provide tally of which classes have enrollment of under six or were cancelled. Includes notation of which form-letter was sent to instructor. (Used to monitor whether a course is cancelled or has low enrollment for two consecutive quarters and thereby will be dropped from the catalog.)	Retain for 2 Years after End of Quarter	OFM
93 01 51806	<b><i>Numbered Cash Cards</i></b> Provides record of cards numbered in a different series for each category of participant, and used to account for cash received. Card numbers indicate how many registrations are received in various categories. A card with a unique number (for that quarter) is attached to each registration form processed.	Retain for 6 Years after End of Quarter	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 01 51807	<b><i>Payroll Summaries</i></b> Provide record of employee names, number of hours worked, pay rate and total pay for each pay period.	Retain for 2 Years after End of Fiscal Year	OFM
93 01 51809	<b><i>Permanent Course Deletions Summaries</i></b> Provide annual summary listings of courses terminated during the year which will no longer be offered by the Experimental College.	Retain for 10 Years after End of Calendar Year	OFM
93 01 51810	<b><i>Permanent Instructor Deletion Summaries</i></b> Provide annual summary listing of instructors whose classes have been eliminated.	Retain for 10 Years after End of Calendar Year	OFM
93 01 51812	<b><i>Position Manuals</i></b> Provides record of policies, procedures, staff rosters, job duties and responsibilities for each position within the administrative office of the Experimental College.	Retain for 1 Year after Superseded	Archival OFM
93 01 51815	<b><i>Quarterly Timelines</i></b> Provide record of the planning of activities and the notation of deadlines in calendar form.	Retain for 2 Years after End of Quarter	OFM
93 01 51819	<b><i>Registration Reports -- Quarter-to-Date</i></b> Provide cumulative record of the number of registrations in various categories received up through any particular date in a quarter. Used to get an "as needed" reading of enrollment to date in a quarter.	Retain for 1 Year after End of Quarter	OFM
93 01 51820	<b><i>Room Request Forms</i></b> Provide record of instructors' requests for equipment to be assigned to their classroom (i.e., long tables, movable tables, overhead projector, etc.).	Retain for 1 Year after End of Quarter	OFM

## **/15/13/05/ Bike Repair Shop (ASUW)**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 10 58834	<b><i>Bike Repair Orders</i></b> Provides a record of requests made by UW students for ASUW Bike Repair Shop services.	Retain for 2 Years after End of Calendar Year	OFM

## **/15/13/07/ Student Legal Services**

### *Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59588r2R5	<b><i>Client Intake Sheet</i></b> Form completed during initial contact with potential clients. Used to identify client, nature of inquiry, referrals made, advice given, etc. If contact evolves into a case, the sheet is placed in the client case file.	Retain for 6 Years after Last Contact	OPR

## **/15/17/ University Police Department**

### *Law Enforcement*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62911	<b><i>ACCESS, WACIC, and NCIC Validations</i></b> Records from A Centralized Computer Enforcement System (ACCESS), Washington Crime Information Center (WACIC), and National Crime Information Center (NCIC) relating to validation notices received from the Washington State Patrol verifying the receipt and database entry of criminal history information transferred in accordance with RCW 10.98.050.	Retain for 3 Years after Date of Validation or until WSP Audit	OPR
12 06 68266	<b><i>Applicant Testing, Hired</i></b> Provides a record of testing during the hiring process for police officers. May include all documentation from applicant testing: PAT (physical ability test) cards, test forms and sheets and oral board exams.	Retain for 6 Years after Termination of Employment	OPR
04 07 60743	<b><i>Authorization To Apply For A Banquet Permit To Serve Alcoholic Beverages</i></b> Form which provides a record of University offices or organizations who have applied for a permit to serve alcoholic beverages on campus. Includes description of event, date, location and estimated attendance.	Retain for 6 Months after Event Completion	OFM
06 07 61244	<b><i>Background Checks</i></b> Provides a record of background checks conducted during the hiring process for police officers.	Retain for 6 Years after Termination of Employment	OPR
06 07 61245	<b><i>Banning Letters</i></b> Provides a record of restrictions placed on an individual's access to all or part of the University.	Retain for 6 Years after Expired	OPR
88 4 42063	<b><i>Building Survey Reports</i></b> Provides record of security measure surveys done of campus buildings. Used by departments to update/enhance their security measures.	Retain for 1 Year after End of Calendar Year	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62913	<p><b>Case Files - Juvenile Offenders</b></p> <p>Case reports and files assembled by law enforcement staff pertaining to offenses allegedly committed by juveniles. Note: RCW 13.50.050(22)(a) allows for the routine destruction of records relating to juvenile offenses only when the subject has attained 23 years of age or older. Local law enforcement records relating to juvenile offenses may also be destroyed pursuant to RCW 13.50.505(17)(a) upon notification from the juvenile court that such records are eligible for destruction.</p>	Retain until Juvenile attains 23 years of age or notification from juvenile court	OPR
11 12 62914	<p><b>Citations/Notices of Infraction - Issued to Officer</b></p> <p>Records documenting the issuance of blank, pre-numbered citations/notices of infraction to officers in accordance with RCW 46.64.010. Includes, but is not limited to voided citations/tickets, receipts for books and/or devices issued.</p>	Retain for 3 Years after Date of Issuance or Completion of Audit	OPR
11 12 62925	<p><b>Citations/Notices of Infraction Issued - Driving Under the Influence</b></p> <p>Records relating to citations issued to alleged violators for driving while under the influence which must be retained in accordance with RCW 46.61.502(6). Excludes citations/notices of infraction generated using Washington State Patrol's Statewide Electronic Collision and Ticket Online Records (SECTOR) transmitted to Washington State Patrol.</p>	Retain for 10 Years after Date of Issuance	OPR
00 05 59684r1R8	<p><b>Citizen Complaint Files</b></p> <p>Provides a record of written complaints against the department received from members of the public. Includes response.</p>	Retain for 1 Year after End of Calendar Year	OFM
88 4 42069r2.R8	<p><b>Communications Center Recordings</b></p> <p>Provides a taped daily record of E911 calls, calls to UWPB Communications Center, and radio communications between UWPB Communications Center and UW radio units. Also includes telephone call data.</p>	Retain for 3 Months after Media Full	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62916	<b><i>Computer - Aided Dispatch (CAD) Backup Data</i></b> Backup data entered by dispatchers pertaining to calls received and/or processed by a Public Safety Answering Point.	Retain for 3 Years after Conclusion of Dispatch Action	OPR
88 4 42053r2.R8	<b><i>Computer Aided Dispatch System (CADS)</i></b> Provides a record of dispatched calls for police service and an event record of police activity.	Retain for 6 Years after End of Calendar Year	OPR
11 12 62921	<b><i>Confidential Informants</i></b> Records relating to individuals with confidential informant status who provide information to the agency on a confidential basis.	Retain until Termination of Confidential Informant Status	OFM
11 12 62926	<b><i>Court Orders - Filed with the Agency</i></b> Orders issued by a court and filed with the agency. Includes, but is not limited to anti-harassment orders, no-contact orders protection orders, restrictive area orders, and Stay Out of Drug Area (SODA)/Stay Out of Area - Prostitution (SOAP) orders0	Retain until Expired, Vacated, Terminated, or Superseded	OPR
11 12 62915	<b><i>Court Orders - Fulfilled by UWPD</i></b> Records relating to the tracking and delivery of official documents requiring a process to be served by the agency. Includes, but is not limited to domestic violence information sheets, service slips and logs (including face sheets and day tickets), and returns of service. Excludes summonses that become part of a case file.	Retain for 6 Years after Last Entry or Action	OFM
11 12 62909	<b><i>Crime Analysis Files</i></b> Records relating to analyses used to anticipate, prevent, or monitor potential criminal activity.	Retain for 1 Year after Completion of Analysis	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62919	<b><i>Crime Prevention Programs</i></b> Records relating to the management of crime prevention programs. Includes, but is not limited to Crime Stoppers, block watch; business watch and house watch.	Retain for 1 Year after Obsolete or Superseded	Potentially Archival OPR
00 05 59685r1R9	<b><i>Crime Prevention Publications/60 Day Log</i></b> Provides a record of publications and notifications on crime produced by UWPD as part of the Crime Prevention Program. Includes crime analysis reports. Required by CFR 20 USC 1092 (f), Cleafy Act.	Retain for 7 Years after Annual Report Complete	Archival OPR
11 12 62912	<b><i>Criminal History Audit Reports</i></b> Final reports of Washington State Patrol audit findings.	Retain for 6 Years after Completion of Washington State Patrol audit	Potentially Archival OPR
11 12 62910	<b><i>Daily Bulletins</i></b> Bulletins created on a daily basis to disseminate pertinent information to officers.	Retain until no longer needed for agency business	OFM
11 12 62923	<b><i>Evidence/Property In Custody</i></b> Records documenting the intake, management, and disposition of property acquired by the agency as evidence or for safekeeping. Includes, but is not limited to evidence/property in/out logs, and documentation relating to disposition (destruction, return to owner, etc.).	Retain for 6 Years after Disposition of Property and 1 year after disposition of pertinent case file(s)	OPR
12 06 68267	<b><i>Field Interview Reports (FIR's)</i></b> Provides records of officers' field contacts with the community that do not result in the need for an Incident Report.	Retain for 6 Years after End of Contact	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61363	<b><i>Firearms Exemption</i></b> This series provides a record of individuals requesting an exemption to WAC 478-124-020. Includes both approved and denied permits.	Retain for 6 Years after Expired or Denied	OPR
88 4 42060r2.R8	<b><i>FTO Files (Field Training Officer Files)</i></b> Provides a record of officer field training. Includes individual officer training manual and DORs (Daily Observation Reports). (Field training records are maintained per RCW 43.101.200.)	Retain for 6 Years after Termination of Employment	OPR
88 4 42061r2.R7	<b><i>Incident Report</i></b> A record of the initial report on arrests, accidents, crimes and incidents. May include statements, property sheets, criminal or infraction citations, etc. needed to document the incident. May include WACIC or NCIC printed data and DOL information.	Retain for 6 Years after End of Calendar Year	OPR
88 4 42068r2.R9	<b><i>Investigation Case Files</i></b> Contains a detailed record of information collected in investigations of reported crime or incidents. Including: Supplemental reports, Witness/Victim statements, photos, property and evidence worksheets, WACIC/NCIC/DOL printed data, etc. (After retention period ends, murder and assault case files are turned over to WASPC (Washington Association of Sheriffs and Police Chiefs."))	Retain for 6 Years after Case Closed/ Inactive	OPR
11 12 62918	<b><i>Investigative Funds</i></b> Records relating to agency funds expended during criminal investigation evidence buys, investigative expenses, and informant expenses and/or payments. Includes, but is not limited to expense vouchers, receipt books for funds spent ledgers, and receipts for purchases.	Retain for 10 Years after Last Expenditure	OPR
11 12 62917	<b><i>K9 Unit Records-Agency Owned Animals</i></b> Records relating to horses, dogs, or other animals owned by the agency and retained in accordance with WAC 139-05-915(7). Includes, but is not limited to training and canine team certification;; animal acquisition and microchip information and records showing purpose, use, or assignment of animal.	Retain for 6 Years after Removal from Active Service	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42076	<b><i>Notification of Court Appearance</i></b> Summarizes subpoena data and directs officers to appear in court.	Retain until End of Month	OFM
00 05 59703	<b><i>Property Activity Request (Form 1024)</i></b> Provides a record of disposition of equipment or property either through surplus transfer or sale. Also includes property or money that has been diverted to police use. (Maintained as per RCW 63.32.010.)	Retain for 6 Years after End of Calendar Year	OPR
11 12 62924	<b><i>Property Forfeited</i></b> Records relating to personal and/or real property forfeited to the agency in accordance with RCW 69.50.505. Includes, but is not limited to documentation of auction and/or proceeds realized from disposition, property retained for agency use, and forfeiture hearing tapes. Excludes records relating to property retained for law enforcement use in accordance with Chapters 63.32, 63.40, and 63.42 RCW. Note: RCW 69.50.505(8)(b) requires agencies to retain records relating to forfeited property for at least 7 years.	Retain for 7 Years after Date of Forfeiture	OPR
11 12 62920	<b><i>Property Registration</i></b> Records relating to personal property registered with the agency for recovery if lost or stolen.	Retain for 1 Year after No Longer Needed	Potentially Archival OPR
12 06 68270	<b><i>Recordings from Mobile Units - Incident Not Identified</i></b> Recordings created by mobile units that have not captured a unique or unusual incident or action from which litigation or criminal prosecution is expected or likely to result.	Retain for 3 Months after Date of Recording	OFM
12 06 68271	<b><i>Security Surveys and Assessments</i></b> An assessment of risks or potential crime performed by Crime Prevention. Record includes security evaluations and reports for persons or property under UWPB jurisdiction for crime prevention, in planning for a special event or at the request of another security agency.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42054r1.R8	<b><i>Special Orders</i></b> Provides a record of internal office memos containing information of a temporary nature.	Retain for 3 Years after End of Calendar Year	OFM
88 4 42067r3R9	<b><i>Uniform Crime Reports</i></b> Provides statistical data on selected major crimes. As per RCW 28B.10.569(1) reported to WASPC on a monthly basis. Includes reporting of child abuse, hate/bias crimes, and domestic violence.	Retain for 3 Years after End of Calendar Year	Potentially Archival OPR
00 05 59709	<b><i>UWPD Field Officer Training Manual</i></b> Provides guidelines and objectives for training new officers.	Retain for 6 Years after Superseded	Archival OPR
12 06 68274	<b><i>Victim Advocate (CVA) Records</i></b> All confidential records used and maintained by the UWPD Crime Victim Advocate (CVA).	Retain for 6 Years after Last Contact	OPR
11 12 62922	<b><i>Weapons (Agency-Issued)</i></b> Records relating to the issuance, inspection, and maintenance of weapons issued by and/or handled by agency personnel. Includes, but is not limited to records of issuance, gift, and loss, and records of inspection, maintenance, and certification.	Retain for 3 Years after Disposal of Asset	OFM

**/15/20/**

**UW Career Center**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 12 43452r2R6	<b>Letters of Evaluation</b> This series provides a record of Academic Employment and Graduate/Professional School Placement files. Files may contain cover sheet with contact information, educational history, letters of recommendation, etc.	Retain for 20 Years after Last Activity	OPR
95 06 55519r1R8	<b>Student Husky Jobs Account</b> Provides a record of students who have a Husky Jobs Account. Includes name, identification number, major concentration, and statement that authorizes release of the above information to a prospective employer.	Retain for 1 Year after Husky Jobs Account Inactive	OFM

## 16 Office of External Affairs

*External and Regional Affairs, State Relations, Trademarks and Licensing, Broadcast Services, News and Information, Public Records, UWTV/Research*

### /16/03/ State Relations

*Works with state legislators, statewide elected officials and state agency officials to advance the UW's academic and legislative agenda*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 10 60816	<b>Issues Files</b> Provides record of current issues that may affect or may be of interest to the University of Washington. May include House and Senate Legislative bills, newspaper articles, testimony, correspondence, fiscal notes, checklists, etc.	Retain for 5 Years after End of Calendar Year	Potentially Archival OFM
04 10 60817	<b>Report to the Public Disclosure Commission</b> Reports lobbying activities to the Public Disclosure Commission. May include report, Public Disclosure Commission - Report of Lobbying Activities (PDC Form L-5, (Rev. 11-79), correspondence, etc.	Retain for 6 Years after End of Calendar Year	Potentially Archival OPR

**/16/05/**

## **Trademarks and Licensing**

*Promotes and protects the use of UW licensed marks*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 09 59912	<b><i>Campus Trademark Usage Agreement</i></b> Agreements with UW departments to use any trademarked logo (i.e. on t-shirts, at fundraisers, etc.). Departments are exempt from royalty and agreement is for one-time use only.	Retain for 6 Years after Termination of Agreement	OPR
93 12 53398	<b><i>Infringers</i></b> Documents cease and desist letters sent to manufacturers illegally producing merchandise.	Retain for 6 Years after End of Fiscal Year	OPR
85 5 35348r1R1	<b><i>Insurance Certificates</i></b> Provides proof that all licensed companies have product liability insurance and that this University is named as one of the insured parties. Policies are renewed on a yearly basis. A new insurance certificate is issued at time of renewal of policy.	Retain until Superseded	OFM
85 5 35347r1R2	<b><i>Licensee Files - Contract</i></b> Contract between the University of Washington and companies licensed to use University of Washington trademarks. Includes Standard Non-Exclusive Licensing Agreements and correspondence relating to contract only.	Retain for 6 Years after Termination of Contract	Archival OPR
00 09 59911	<b><i>Licensee Files - Supporting Documentation</i></b> Supporting documentation for licensee contract/agreement to use University of Washington trademark on a product. May include artwork, correspondence, etc.	Retain for 5 Years after End of Fiscal Year	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85 5 35345r1R3	<b><i>Revenue Receipts and Register</i></b> Provides a record of revenue received and cash receipts.	Retain for 6 Years after End of Fiscal Year	OPR
85 5 35351	<b><i>Royalty Reports</i></b> Provides a record of royalty payments submitted by licensees. May include official UW form or similar form generated by licensee.	Retain for 6 Years after End of Fiscal Year	OPR
85 5 35352	<b><i>Trademark Registrations</i></b> Certificates of Trademark Registrations on both the national and state levels. Proof that this University has legal ownership of its trademarks.	Retain for 99 Years after End of Fiscal Year	Archival OPR
00 09 59913	<b><i>Trademarks &amp; Licensing - Legal Correspondence</i></b> Legal correspondence between Trademarks and Licensing and private attorney representation regarding new registration, reviews of registration, registration searches or legal opinions in relations to trademark infringements.	Retain for 6 Years after End of Fiscal Year	Potentially Archival OPR

**/16/07/**

## **Broadcast Services: KUOW Radio Station**

*Radio Station*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 05 50435	<b><i>Excise Tax Return</i></b> Provides a record of Excise Tax Returns filed quarterly by KUOW with the State Department of Revenue.	Retain for 6 Years after End of Fiscal Year	OPR
99 11 59352	<b><i>KUOW Equipment Performance Measurements</i></b> Records performance measurements for each station transmitter. May include Frequency Measurement Logs. Maintained as per 47 CFR 73.1590.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59585r1.R6	<b><i>KUOW Listeners Letters</i></b> Formerly held as part of the Public Inspection File, these letters provide a record of comments and questions from station listeners.	Retain for 3 Years after End of Calendar Year	Potentially Archival OFM
99 11 59364	<b><i>KUOW Public File</i></b> Contains all content maintained as part of the station's Public File required as per 47 CFR 73.3527(e) (1-11). Includes: Annual Employment Reports, Contour Maps, Donor Lists, FCC Applications, FCC Authorization, FCC Investigation or Complaint Notices, Issues/Program List, Local Public Notice Announcements, Ownership Reports, Political File, "The Public and Broadcasting".	Retain for 8 Years after Final action on next license renewal application	Archival OPR
93 11 53256r2.R6	<b><i>KUOW: Station Operation Log</i></b> Documents the technical operation of station equipment, including equipment status, equipment calibration, the Emergency Alert System, tower lighting outages, etc. Maintained as per 47 CFR 73.1225.	Retain for 6 Years after End of Calendar Year	OPR

**/16/09/**

## Office of News and Information

*Works with journalists who need information about the University of Washington.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 7 42645r1.R3	<b><i>Contact Sheets and Negatives Files</i></b> Reference source for photos used in publications and news releases.	Retain for 6 Years after End of Calendar Year	Archival OFM
88 7 42641r1.R3	<b><i>News and Information Personnel Files</i></b> Provides information source on UW faculty and staff (current or former). Used to provide background for University Week stories and articles or press releases. Information from files is feed into the Experts database, an on-line contact source for outside media needing experts in certain fields. May include bibliographies, biographies, photographs, news clips, speeches, obituaries, etc.	Retain for 6 Years after Deceased	Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 7 42639r1.R3	<b><i>News and Information Subject Files</i></b> Provides information source on all UW related subjects (other than individuals), i.e. departments, school/college, programs, projects, objects, etc. Used as background for articles in University Week or for press releases. May include newsclips, photographs, articles, correspondence, etc.	Retain for 6 Years after End of Calendar Year	Archival OFM
88 7 42638r1.R3	<b><i>Past Presidents' Files</i></b> Provides information source on past UW presidents. May include bibliographies, biographies, photographs, news clips, speeches, etc. Used as background source for articles or press releases.	Retain for 6 Years after Deceased	Archival OFM
88 7 42640r1.R3	<b><i>Publications Files</i></b> Provides record of all publications developed and issued by Office of News and Information. May include University Week, Profile and special issue publications. Also includes University Report, the precursor to University Week.	Retain for 6 Years after End of Calendar Year	Archival OFM
88 7 42636r1.R3	<b><i>Regents Files</i></b> Provides information sources on current and past Board of Regents members. May include bibliographies, biographies, photographs, news clips, speeches, etc.	Retain for 6 Years after Completion of Term or Period of Service	Archival OFM

**/16/12/**

## Office of Public Records & Open Public Meetings

### Public Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43147r1R5	<b><i>Open Public Meetings - Regular and Special Meetings Notices</i></b> Provides record of receipt of departmental committee meeting notifications for both regular (R series) and special committees (S series). Can include notice files and correspondence.	Retain for 2 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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88 11 43141	<b><i>Public Records Requests Log</i></b> Provides chronological log of requests for public records. Filed with public records requests at end of calendar year.	Retain for 6 Years after End of Calendar Year	OFM
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88 11 43144	<b><i>Statistical and Trend Reports</i></b> Provides statistical record of the Public Records Office's activities, i.e. number of requests per year, types of records requested, public records services usage forecasts, etc.	Retain for 5 Years after End of Calendar Year	Archival OFM
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## **/16/13/ UWTV**

*Television Station*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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13 03 68434	<b><i>UWTV Daily Logs</i></b> Printed from the Traffic System Log, documents the schedule for the day including all programming and spots. Used by operators to note changes and discrepancies with explanations in the day's schedule.	Retain for 2 Years after End of Month	Potentially Archival OFM
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13 03 68436	<b><i>UWTV Traffic System Logs</i></b> Part of the Traffic System Database, this is the schedule for all programming and spots. Lists content of planned programming and spots and time they will be aired. The Traffic System Database tracks what actually ran on each day. Reconciled against the Daily Log. Affidavits are produced from the reconciled logs to document spots that did or did not run as per their contracted schedule.	Retain for 6 Years after End of Month	Archival OPR
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## **18 College of Built Environments**

*Academic Offices*



**/18/01/**

## College of Built Environments: Dean's Office

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62654	<b>Digital Image Request Form</b> Provides a record of Faculty requests for digital images to be created from original material into slides or scanned images which are used for teaching or research. Signed forms provide consent with University Policies.	Retain for 6 Years after End of Academic Year	OPR

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**19**

## College of Arts and Sciences

*Academic Offices*

**/19/04/**

### A&S: Dance Program

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59148	<b>Program Files</b> Provides a record of dance programs/events sponsored/presented by this department. May include: licenses/contracts for the rights to present a specific dance, publicity materials, programs, reviews of the event, etc.	Retain for 6 Years after End of Calendar Year	Archival OPR

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**/19/05/**

### A&S: Meany Theater: Arts Ticket Office

*Meany Theater: Arts Ticket Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 09 51315	<b><i>Cash Till Reconciliations</i></b> Provides a record of the daily reconciliation of cash transactions.	Retain for 6 Years after End of Month	OPR
92 09 51314	<b><i>Charge Slips</i></b> Provides a record of ticket sales charged to credit cards.	Retain for 6 Years after End of Month	OPR
03 12 60616	<b><i>Comp. Tickets Form</i></b> Provides a record of complementary tickets provided to patrons.	Retain for 6 Years after End of Fiscal Year	OPR
95 11 56175r1R2	<b><i>Daily Ticket Sales Reports</i></b> Provide hardcopy compilation of computer data obtained for each day of sales. Lists information regarding each transaction for a day, including transaction number, patron identification number, patron name, amount received or due, event, ticket and seat information, etc.. Also includes summary report of total sales for each day, hold listing for seats being held, and adjustment listing for corrections made to sales that day. Used administratively to reconcile any discrepancies for the day.	Retain for 6 Years after End of Month	OPR
04 02 60637	<b><i>Donated/Returned Tickets</i></b> Provides a record of tickets exchanged by patrons or tickets donated for resale.	Retain for 6 Years after End of Fiscal Year	OPR
95 11 56176r1R2	<b><i>Events Database</i></b> Provide computer record of events with dates, times, seats and seat prices for single event and series tickets. Includes ticket format listings of text to be printed on each type of ticket, and price structure list setting price codes to be used by the computer to charge for tickets and control discounts.	Retain for 3 Years after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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09 12 62164	<b><i>Lobby Sales Documentation</i></b> This series provides a record of the sales of merchandise at a Meany Theater event. The original documentation is given to the Finance and Administration office once the money is reconciled, and this office retains a secondary copy for their records.	Retain for 2 Years after End of Season	OFM
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95 11 56177r1R2	<b><i>Patron Database</i></b> Provides history of patron purchases of tickets. Includes amounts paid for tickets, performances attended, seats assigned, etc.	Retain for 3 Years after End of Fiscal Year	OFM
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## **/19/05/01/ Meany Hall: Public Performing Arts: Finance and Administration**

### *Accounting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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04 02 60648	<b><i>Personal Data Forms</i></b> A record of personal information about a UW employee, such as home address, phone number, emergency contacts, etc.	Retain until Superseded	OFM
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## **/19/06/ A&S: Henry Art Gallery**

### *Art Gallery*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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00 12 60001r1R3	<b><i>Accession Register</i></b> Documents the intake of each object in the permanent collection, in which each object is assigned a unique Accession Number and description.	Retain for 5 Years after Last Object Deaccessioned	Archival OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 09 46709 r2.R2	<b><i>Permanent Collection Records [Object Records]</i></b> Various types of information on a specific object in the Gallery's permanent collection. May include: artist cards with photos and description of object, Deeds of Gift, donor information, provenance, initial receipts, insurance appraisals, exhibition history, correspondence, research material, bibliographies, etc.	Retain for 10 Years after Object Deaccessioned	Archival OPR
00 12 59999	<b><i>Publication Use Records</i></b> Documents the use of art object representations in any format by agencies outside of the Henry Gallery. May include: correspondence, photocopy of article/WEB site using object representation, copyright use agreements, etc.	Retain for 6 Years after Object Deaccessioned	Archival OPR
06 05 61180	<b><i>Security Walkthrough File</i></b> This series provides a record of the security walkthroughs performed throughout the Henry Art Gallery. May include reported condition of exhibit pieces or an attendant's observations of patrons' reactions to the exhibit.	Retain for 10 Years after End of Calendar Year	Archival OPR
90 09 46712r1.R2	<b><i>Special Exhibits Files</i></b> Provides record of all aspects of planning and presenting a special exhibit. May include: planning files, correspondence, art loan agreements, bills of lading, object receipts, exhibit guides, etc.	Retain for 10 Years after Close of Exhibit	Archival OPR
00 12 60000	<b><i>Storage Registers</i></b> Provides a location guide and inventory list to permanent collection objects in storage.	Retain for 1 Year after Register Superseded	OFM
95 06 55516r1.R2	<b><i>Usage Cards</i></b> Provides record of researchers requesting access to objects in the collection. Includes name and address of requestor, date of appointment, objects requested, whether objects were returned to storage, etc.	Retain for 3 Years after End of Calendar Year	OFM

**/19/08/02/**

**A&S: Burke Museum: Education**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 08 59257	<b><i>Curriculum/Program/Field Trip Files</i></b> Provides a record of museum-related curriculum developed by Education division staff. May include: final draft, teacher's packet, progress and program reports, student worksheets, field trip information, contact lists, etc.	Retain for 5 Years after Course No Longer Offered	Archival OFM
99 MM 59259	<b><i>Object Inventory</i></b> A database devoted to inventory of artifacts and specimens retained by this division. May include information on: object description and provenance, physical location, final disposition, etc.	Retain for 5 Years after Last Item Disposed Of	OFM

**/19/08/05/**

**A&S: Burke Museum: Registrar**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61392	<b><i>Donor Cards</i></b> Various types of information on donors of collections in the museum's permanent collection. May include: contact information, description of gift, and list of tasks associated with the gift. This information is used as a cross reference to the Accession/Deaccession Records.	Retain for 10 Years after Collection Deaccessioned	Potentially Archival OPR

**/19/21/****A&S: School of Art: Administration***Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 05 58462	<b><i>Study Abroad Program - Applications</i></b> Application for participation in study abroad program through School of Art. Includes letters of reference, passport validation and emergency contact information.	Retain for 1 Month after End of Quarter	OFM

**/19/24/****A&S: School of Music***Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44802	<b><i>Concert Programs</i></b> Provides general information about the musical performances being performed or offered by the School of Music.	Retain for 5 Years after End of Calendar Year	Archival OFM

**/19/35/****A&S: Astronomy***Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 57846	<b><i>MRO Log Book</i></b> Records the name, date and project of researchers using the UW telescope facility near Ellensburg. Maintained at the facility.	Retain for 6 Years after End of Calendar Year	Potentially Archival OFM

**/19/43/04/**

**A&S: Physics: Purchasing/Accounting**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 10 53171	<b><i>Shipping Log</i></b> Provides a chronological record of packages received by Physics departments from outside shippers. For example UPS, FedEx, DHL, etc.	Retain for 2 Years after End of Biennium	OFM

**/19/45/02/**

**A&S: Psychology: Fast Track**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61670	<b><i>Suspected Child Abuse Reports</i></b> This series provides a record of reports submitted to Child Protective Services regarding suspected child abuse identified during the course of the research study.	Retain for 6 Years after Date of Interview	OPR

**/19/45/06/**

**A&S: Psychology: Clinic Coordinator: Psychological Services and Training Center**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 03 61950	<b><i>Client Case Files - 10 And Younger</i></b> Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Consent Forms, Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc.	Retain for 18 Years after Last Contact	OPR
09 03 61949	<b><i>Client Case Files - 11 And Older</i></b> Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Consent Forms, Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc.	Retain for 10 Years after Last Contact	OPR
89 10 45101r4R8	<b><i>Client Case Files - pre 2009</i></b> Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Client Statement of Understanding, Evaluation of Effectiveness of Services (consent form), Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc.	Retain for 16 Years after Last Contact	OPR
<b>/19/53/</b> <i>Academic Office</i>	<b>A&amp;S: Political Science</b>		



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 06 60891	<b><i>Student Internships -- Non-Majors</i></b> Provides records of students who are not political science majors but whose internship with the Washington Center is arranged through the Political Science Department. May include application forms, evaluations, correspondence, etc. (Original applications and evaluations are kept on file at the Washington Center in Washington DC.)	Retain for 1 Year after End of Academic Year	OFM

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**/19/56/ A&S: Slavic Languages and Literature**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 09 46703r1R5	<b><i>Independent Study Application Files</i></b> Provides record of instructor, student, and subject of independent study courses for students who are not majors in the Slavic Languages and Literature department. Used to identify potential courses.	Retain for 2 Years after End of Quarter of Study	OFM

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95 06 55530r1R5	<b><i>Language Placement Tests</i></b> Tests taken by students who are seeking classes offered by the Slavic Language Department. Used to identify what level the individual should be placed at in the language for proficiency and usually only done for non-majors.	Retain for 2 Years after End of Calendar Year	OFM
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**/19/58/01/ A&S: Speech and Hearing Sciences: Speech and Hearing Clinic (Speech Pathology and Audiology)**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 06 56812r1R5	<b><i>Appointment Request Forms</i></b> Provides initial intake information regarding a client's speech and/or hearing concerns when making arrangements for an appointment. If a person becomes a client, the form is placed in the client case file.	Retain for 1 Year after If no follow-up	OFM
91 08 48042r2R4	<b><i>Client Case Files - Adults</i></b> Provides comprehensive record of client contact, testing, evaluations and/or therapy. May include: correspondence, test and examination results, assessments, progress reports, notes, consent form, etc. Includes screening files, no show/hold files and bypass/waiting for therapy files.	Retain for 6 Years after Last Activity	OPR
91 08 48041r2R4	<b><i>Client Case Files - Minors</i></b> Provides comprehensive record of client contact, testing, evaluations and/or therapy. May include: correspondence, test and examination results, assessments, progress reports, notes, consent form, etc. Includes screening files, no show/hold files and bypass/waiting for therapy files.	Retain for 6 Years after Age of Majority	OPR
91 08 48044r1R5	<b><i>Occupational Health and Safety Records</i></b> Provides record of UW employee hearing loss tests performed by this department and in conjunction with the Occupational Health and Safety Office. May include: audiograms, diagnostic evaluations, etc.	Retain for 30 Years after Last Contact	OPR

**/19/62/**

**A&S: Romance Languages and Literature: Spanish and Portuguese: Advising**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 8 52771r2R2	<b><i>Foreign Study: Student and Institutional Evaluations</i></b> Provides a record of the evaluation of undergraduate student foreign study transcripts and of courses taught in foreign educational institutions and their assigned UW equivalents.	Retain for 2 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 08 57899	<b><i>Language Exam and Answer Sheet Master Copies</i></b> Master copies of exams and their corresponding answer sheets for 200 and 300 level Spanish and Portuguese language tests. These exams are evaluated by the department, although monitored by the Office of Educational Assessment. May include credit by exam, proficiency exam and placement exam master copies.	Retain for 1 Year after Superseded	Archival OFM
93 8 52772r2R2	<b><i>Recommendations to the College of Education</i></b> Provides a record of recommendations made to the College of Education regarding the admission of Master's of Teaching students.	Retain for 2 Years after End of Calendar Year	OFM

## 20 School of Business

*Academic Offices*

### /20/02/07/ School of Business: Business Connections Center

*Business Connections Center*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 04 61133	<b><i>Mentor List</i></b> A list of business professionals who serve as mentors to MBA students, and the list is updated each year. This series may also include correspondence and biographies of these individuals.	Retain for 6 Years after End of Academic Year	Potentially Archival OFM
97 12 58190	<b><i>Student Recruitment Files</i></b> Used to track career search and employment decisions of students as of three months after their graduation from the full-time MBA or MPAcc program. Statistics regarding the rate of placement, salary information, location of MBA placement, etc., are compiled from placement surveys completed by the full-time MBA students and included in Business Career Center reports. Files also include student resumes.	Retain for 2 Years after End of Year	OFM

/21/05/

## Education: Teacher Education Program

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 10 37876r2R5	<b><i>Certificate Program Candidate - Inactive</i></b> Provides a record of candidates formerly enrolled in a teacher certificate program who have not completed the requirements and received a Residency Initial or Professional certificate.	Retain for 10 Years after End of Calendar Year	OFM
86 10 37882r2.R4	<b><i>Educational Staff Associate - Residency Initial and Professional Certificate</i></b> Provides a record of candidates who have complete credential and received a residency initial or professional certificate for Social Worker, Psychologist/School Counselor, etc. Includes certificate application (which includes criminal background information), fee payment information, copy of previous certificates, correspondence, etc. These files are used by the Office of Superintendent of Public Instruction: Office of Professional Practice for investigations.	Retain for 45 Years after End of Calendar Year	OPR
86 10 37877r4R5	<b><i>Granted Certificates</i></b> Provides record of candidates who have completed the requirements for a masters in teaching and have received a Residency Initial Certificate. May include advisors report, correspondence, field practicum, evaluations, certification application (which includes criminal background information), etc. These files are used by the Office of Superintendent of Public Instruction: Office of Professional Practice for investigations.	Retain for 45 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 07 60745	<b><i>Student Teaching Evaluation Working Files</i></b> Provides material used to generate a final student teaching evaluation. Files include teacher, student, and University supervisor evaluations. Final evaluation is sent to the Center for Career Services and added to the placement folder.	Retain for 5 Years after End of Academic Year	OFM

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**/21/07/      Education: Curriculum and Instruction Area**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 7 46423	<b><i>Proposal for Independent Study Registration</i></b> Provides record of graduate student requests for independent study registration.	Retain for 1 Year after End of Academic Year	OFM

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**/21/08/01/      Education: Educational Psychology: Clinical Training Lab**

*Clinical Training Lab*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 07 53855r1.R1	<b><i>Counseling Psychology Counseling Folders</i></b> Folders provide a record of counseling session done by students in the Counseling Psychology Program. For K-12 ages, counseling is done for a multitude of reasons including educational performance. For adults, counseling is for how to deal with the child's problems and educational assessment. May include case notes, summary report, client statement of understanding, intake sheet, psychological evaluation, etc.	Retain for 16 Years after Last Contact	OPR
01 07 60134	<b><i>School Psychology Counseling Folders</i></b> Provides record of psychological counseling and assessment of K-12 students. Includes outcome report, follow-up progress, case notes, intake sheet, client statement of understanding, etc.	Retain for 16 Years after Last Contact	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 07 53856r1.R1	<b><i>School Psychology Testing Folders</i></b> Provides record of the testing of PreK-12 students for psychological evaluation. Results provide recommendations and suggestions for educational and psychological well-being. May include test protocols, interview notes, scoring sheets, diagnostic worksheet, client statement of understanding, rating scale, notes, etc.	Retain for 20 Years after Last Contact	OPR

## 22 College of Engineering

*Academic Offices*

### /22/10/02/ Washington State Transportation Center (TRAC)

*Transportation*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 1 43565	<b><i>TRAC Agreements/Statements</i></b> Provides record of agreements and memorandums of understanding between TRAC and other entities regarding educational services.	Retain for 6 Years after Termination of Agreement	Potentially Archival OPR

### /22/13/ Eng: Materials Science and Engineering

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 03 61120	<b><i>Package Receiving Log</i></b> This record lists the packages received by the Materials Science and Engineering office and documents package contents, arrival date, and staff receipt.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 57837r2R2	<b><i>Academic Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</i></b> This series contains the records relating to various phases of a wind tunnel test for an Academic project. Raw and Reduced data are created during the testing of the model; the Data Reduction Notebook includes the calculations used to extrapolate the final report from the raw data gathered during the various tests. The Final report contains a summary of the information found in the Data Reduction Notebook. Also included is the Test letter from the client.	Retain for 6 Years after Completion of Project	Archival OFM
97 07 57843r2R2	<b><i>Commercial Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</i></b> This series contains the records relating to various phases of a wind tunnel test for a Commercial project which contains proprietary information. Raw and Reduced data are created during the testing of the model; the Data Reduction Notebook includes the calculations used to extrapolate the final report from the raw data gathered during the various tests. The Final report contains a summary of the information found in the Data Reduction Notebook. Also included is the Test letter from the client. The Work Agreement between the Wind Tunnel and the client is found in the Accounting office. Retention is per RCW 42.56.270.	Retain for 5 Years after Completion of Project	OFM
97 07 57839r1R1	<b><i>Equipment and Occupancy Log Books</i></b> The Equipment Log book provides a chronological daily record of events at the wind tunnel testing facility. May include: power usage readings, hours of occupancy, required repairs, etc. The Occupancy Log books records which customers visited the facility, what was tested, who performed the tests, what tests were performed, etc.	Retain for 6 Years after Life of Equipment	OPR
05 09 60963	<b><i>Operational Security Checklist</i></b> Documents which staff performed the nightly shutdown procedures of the wind tunnel equipment and building security.	Retain for 1 Month after End of Month	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 57835r1R1	<b><i>Wind Tunnel Construction Plans</i></b> Architectural, mechanical, and electrical plans for the original construction of the wind tunnel facility. Also contains construction drawings for scale models built specifically for use in wind tunnel testing	Retain for 6 Years after Disposal of Asset	Potentially Archival OPR

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## **/22/24/ Eng: Center for Workforce Development**

### *Workforce Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 06 52499	<b><i>Corporate Funders</i></b> Provides a record of research funded by corporate donations. Includes administrative correspondence, memoranda, reports, evaluations.	Retain for 6 Years after End of Research Project	OFM

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93 06 52500r1.R1	<b><i>Global Alliance</i></b> Provides a record of the relationship between the Center for Workforce Development and the international exchange program, Global Alliance. May include student applications, recommendations, resumes, contract/agreements, correspondence, memoranda. Agreements with the Global Alliance are renewed on a yearly basis.	Retain for 6 Years after End of Calendar Year	OPR
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## **25 Vice Provost and Dean of the Graduate School**

### *Graduate Programs*

## **/25/01/02/ Graduate School: Office of Fellowships and Awards**

### *Fellowships and Awards*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 03 59034	<b><i>Graduate Student Appointment Petition for Reduced Enrollment (UoW 1853)</i></b> Petition from a Graduate Student Service Appointment holder to register for fewer than 10 credit hours per quarter during Autumn, Winter or Spring quarters. May include: UoW Form 1853, Statement of Circumstances, etc.	Retain for 6 Years after Academic Quarter	OFM

99 03 59032	<b><i>Request for Exemption from Non-Resident Portion of Tuition (NRD)</i></b> Petition from an academic department to have its Graduate Fellows and/or Trainees exempted from the non-resident portion of their tuition. Submitted quarterly.	Retain for 6 Years after Academic Quarter	OPR
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## /25/20/ Graduate School: University Press: Business Office and Administration

*University Press: Business Office and Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53284r1.R2	<b><i>Credit Memos</i></b> Provides on-line record of credit obligations issued for returned books. States title, quantity of returned merchandise, amount, etc.	Retain for 6 Years after End of Fiscal Year	OPR

93 11 53306r1.R1	<b><i>End of Month Reports: Administrative</i></b> Provides a statistical summary of all University Press activities: sales, sales promotions, orders, staff, inventory. Used for planning purposes by the Business Office. May include, but not limited to: Sales for Month Ending Report, Back Orders, Shipment History by Product Group or Book Type Code and Order Activity Report. (At the end of their official retention period, reports issued for the months of June and December will be transferred to the Archives.)	Retain for 4 Years after End of Fiscal Year	Archival OFM
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01 06 60090	<b><i>End of Month Reports: Royalty</i></b> Documents royalty transactions for a given month. Includes Royalties from History, Royalty Joint Accounting Transfers and Royalty Preview Statements. Official copy is maintained in the office database and is covered by UWGS Section 6 for 6 years.	Retain for 4 Years after End of Fiscal Year	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53285	<b><i>Financial Expense Reports</i></b> Details internal budget levels. Used to track internal budgets and to reconcile payables and receivables.	Retain for 6 Years after End of Fiscal Year	OPR
93 11 53286r1.R1	<b><i>Long Range Planning Matrix</i></b> Created to provide a comparative statistical overview of University Press activities. Includes information on sales projections, staff, expenditures, income and endowments. Used for planning purposes.	Retain for 4 Years after End of Fiscal Year	Archival OFM
93 11 53300	<b><i>Monthly Gross Sales for Association of American Presses Report (MAAP)</i></b> Provides a record of sales statistics used to prepare response to Association of American Presses (AAP) monthly questionnaire. AAP gathers and reports sales and returns statistics on a calendar year-to-date basis.	Retain for 3 Years after End of Calendar Year	OFM
93 11 53293r1.R1	<b><i>Physical Inventory (Cycle Count Reports)</i></b> Documents the findings of a physical inventory of University Press stock. Includes warehouse worksheets, variance listings with Business Office annotations and cycle count reports.	Retain for 6 Years after Publishing Year	OPR
93 11 53294	<b><i>Receipts of Inventory</i></b> Provides source document record of the warehouse receipt of University Press stock. Includes date, title of publication, codes, quantity received, books per carton, warehouse location, printing/edition, price/discount, consignment/owner, email announcements, etc.	Retain for 6 Years after End of Fiscal Year	OPR
93 11 53295r1.R1	<b><i>Royalty Contract Files</i></b> Provides a record of the publishing agreement between the royalty recipient and University Press. Includes book contract, sales figures, royalty accrual, Sales and Royalty Statement for Period, correspondence, contract to reprint, memo of agreement, etc.	Retain for 6 Years after Term of Contract/Subsidiary Rights Completed	Potentially Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53296	<b><i>Royalty Log</i></b> Provides a listing of when and to whom royalty payments are made. Used for internal tracking of payments.	Retain for 4 Years after End of Calendar Year	OFM
93 11 53297r1.R1	<b><i>Staff Files</i></b> Provides a record of policies and procedures distributed to University Press or Business Office specifically regarding area operations. May include correspondence, memoranda, policy, etc.	Retain for 4 Years after End of Calendar Year	Potentially Archival OFM
93 11 53298	<b><i>Subsidy Records</i></b> Used to reconcile General Accounting Office generated Budget Status Report and Budget Activity Report. Provides an internal record of the distribution of subsidy and endowment funds to internal budget accounts.	Retain for 6 Years after End of Fiscal Year	OFM
93 11 53299r1.R1	<b><i>Write-Offs</i></b> Provides a record of possible uncollectable debts. May include collection agency recommendation, court notification of bankruptcy.	Retain for 6 Years after Paid, Cancelled or Determined Uncollectable	OPR

## /25/20/02/ Graduate School: University Press: Acquisition and Editorial Office

*University Press: Acquisition and Editorial Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 10 61347	<b><i>Book Files</i></b> This series provides a record of submissions that have been published by University Press. Includes correspondence, donor information, notes, etc. Note - the publishing contract is held by the Administration office.	Retain for 10 Years after Declared out of Print	Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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06 10 61348	<b>Book Proofs</b> This series provides a record of the author-approved pre-publication version of a manuscript.	Retain for 6 Years after End of Calendar Year	OPR
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## 26 School of Law

*Academic Offices*

### /26/02/01/ Law: Finance and Administration: Washington Law School Foundation

*Foundation*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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04 02 60638	<b>Check Requests</b> Provides a record of checks written off Washington Law School Foundation bank accounts. Includes internal check approvals.	Retain for 6 Years after End of Month	OPR
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### /26/04/01/ Law: Assistant Dean for Students and Community Development: Admissions Office

*Admissions*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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87 12 41254 Rev. 2	<b>Credential Folders -- Not Enrolled</b> Provide record of applicants for admission to a UW Law program (J.D. or LL.M) who have either been denied entry or who have been accepted but chose not to enroll. May include application forms, test scores, summary records, correspondence, etc.	Retain for 3 Years after Beginning of Quarter Admitted	OFM
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**/26/04/02/**

**Law: Assistant Dean for Students and Community Development: Financial Aid Office**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59154	<b><i>Annual Law School Scholarship Award Information and Criteria Files</i></b> Provides records of needs assessments to determine who will receive scholarships and how much. Files provide statistical data regarding which students received financial aid and is broken down by class, gender, etc. May include worksheets to determine distribution break down, short list of recipients, needs figures from students, final results and awards.	Retain for 6 Years after End of Academic Year	OPR
99 06 59155r1R1	<b><i>Emergency and Long Term Loan Applications</i></b> Applications from students who are in need of an emergency short or long term loan. Student must pay the loan back by a specified period of time and signs an acknowledgement of this. Applications include student signature, amount requesting, purpose of loan, repayment information form and law school certification. All collection and repayment information is handled in the Student Fiscal Services Office.	Retain until Paid in Full	OFM
99 06 59159	<b><i>Satisfactory Academic Progress Annual Files</i></b> Files provide documentation of review of student academic progress to determine if financial aid awards should be suspended for failure to complete credits. Files include a record of potential problem students, notifications of suspension, appeals letters and final determination.	Retain for 3 Years after Final Report Completed/Submitted	OFM

**/26/05/**

**Law: Assistant Dean for Career Services and Public Service**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 10 61340	<b><i>Company Profiles</i></b> Provides a record of law firms, companies and government related agencies recruiting at UW Law School for full-time, part-time, clerks, or other employees.	Retain for 1 Year after End of Academic Year	OFM
06 10 61342	<b><i>Employer Registrations</i></b> Provides a record of recruitment activities by law firms, companies and government related agencies at UW Law School for full-time, part-time, clerks, or other employees. May include: registration payments, on-campus interview schedules, etc.	Retain for 6 Years after End of Academic Year	OPR
06 10 61341	<b><i>Reciprocity Agreements</i></b> The University of Washington maintains reciprocity with several law schools across the country to provide students and alumni access to job listings. These agreements provide a record of alumni and students from other law schools with reciprocity who have paid a fee for authorization to access the UW Career Planning and Public Service job bank.	Retain for 6 Years after Termination of Authorization	OPR

**/26/06/04/**

**Law: Academic Services**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59589	<b><i>Graduation Review Worksheets</i></b> Worksheets are completed in a student's final year of the three year program, to help students graduating that year plan classes for winter and spring quarters. Also used to provide information for certification for the Bar exam and UW that requirements for completion of degree have been or will be met.	Retain for 1 Year after End of Academic Year	OFM
04 11 60791r1R3	<b><i>Information Release Authorization</i></b> This series provides a record of students authorizing the Law School to release their transcript or issue a letter of good standing, etc.	Retain for 1 Year after End of Quarter	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 11 60790r1R3	<b>Rule 9 Intern Practice Certification</b> Confirms that an individual is a student at the UW Law School, has completed a certain number of credits and is eligible to apply for legal intern status. Form is completed by the student, confirmed and approved by the Law School and filed with the State Bar Association.	Retain for 1 Year after Date of Filing	OFM

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## **/26/20/ Law: Parenting Evaluation Treatment Program**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59649r1R1	<b>PETP Case Files</b> Files created in response to court-ordered evaluation of parenting methods. Used to make recommendations for parenting plans, child custody, etc. Evaluators are mental health practitioners enrolled in the PETP. Includes legal documentation, psychiatric testing, interviewer notes, evidence, photos, consent to release, final report, counseling treatments and referrals. Final copy of report is also given to each party involved. See WAC 246-924-354 for retention requirements regarding the case files.	Retain for 22 Years after Final Report Submitted	OPR

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## **27 School of Medicine**

*Academic Offices*

### **/27/01/05/ Med: Academic Affairs**

*Academic Affairs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 05 50401r1R3	<b><i>Admission Applications -- Not Accepted and Accepted but Not Matriculated</i></b> Provides a record of citizen and foreign students who were accepted for admission to the UW School of Medicine, but did not matriculate. Also provides a record of citizen and foreign students who applied to the School of Medicine but were not accepted.	Retain for 10 Years after End of Calendar Year	OFM
89 9 44812	<b><i>Class Books</i></b> Reference books compiled for each graduating class. Includes class roster and photographs, graduation ceremony records, honors and awards, and roster of residency sites.	Retain for 20 Years after End of Calendar Year	Archival OFM
92 09 51330	<b><i>Financial Aid Office Files</i></b> Provides a record of financial aid applications and supporting documentation submitted by medical students to the School of Medicine Office of Student Financial Aid.	Retain for 5 Years after End of Fiscal Year	OFM
11 12 62953	<b><i>Verification of Medical Degree</i></b> Provides a record of background verification checks to certify that a medical degree was awarded to a prospective student.	Retain for 45 Years after Verification	OFM

## **/27/01/10/ Med: Administration & Finance**

### *Administration and Finance*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44835r2R2	<b><i>Project Files</i></b> A record of the oversight by the Facilities & Construction Office (FCO) of physical arrangements for School of Medicine departments and programs: space planning, new construction, remodeling, moves, and leased facilities. May include architectural drawings.	Retain for 5 Years after End of Calendar Year	Potentially Archival OFM



**/27/01/11/ Med: Continuing Medical Education***Continuing Education*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 05 50410r3R6	<b>Course Files</b> Provides record of policy/non-routine correspondence relating to content, instructors, promotion and advertisement of courses, lectures, symposia or other events accredited by the CME Office. Includes syllabi, brochures and other publications, evaluation summaries, and all enduring materials (multimedia materials) created for CME courses.	Retain for 1 Year after Superseded by New Accreditation	OFM
92 05 50413r1R3	<b>Course Lists</b> Provides record of all courses, including video courses, that are accredited or co-sponsored by CME.	Retain for 6 Years after End of Academic Year	Archival OFM
92 05 50415r2R6	<b>Course Registration Forms</b> Provides record of forms received from course participants which are entered into the Course Registration Database.	Retain for 1 Year after End of Fiscal Year	OFM

**/27/01/15/ Med: UW Medicine Advancement***Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55573r1R1	<b><i>Campaign Files -- Annual Giving</i></b> Provide documentation of annual fundraising drives (e.g., Turner Society, Gift with Class, etc.) targeting individual donors who are UW School of Medicine graduates or faculty. May include campaign materials and correspondence (e.g. letters of solicitation, programs of special events, publicity); copies of donation records; actual and potential donor lists; reports of drive results; photographs, etc.	Retain for 5 Years after End of Fiscal Year	Potentially Archival OFM
95 07 55574	<b><i>Campaign Files -- Special Projects</i></b> Provide documentation of specialized fundraising efforts undertaken or coordinated by Medical Affairs Development, targeting specialized donor groups or specific UW School of Medicine departments or programs. May include samples of campaign materials (e.g., letters of solicitation, programs of special events, publicity); copies of donation records; actual and potential donor lists; reports of fundraising drive results; correspondence; photographs, etc..	Retain for 10 Years after Completion of Project	Potentially Archival OFM
95 07 55575	<b><i>Departmental Background Files</i></b> Provide reference files for UW School of Medicine units and programs. For each unit (departments, divisions, centers, hospitals and programs) documentation may include correspondence, current research reports, annual reports, newspaper clippings, publications and faculty curricula vita.	Retain for 5 Years after End of Calendar Year	Potentially Archival OFM
95 07 55580	<b><i>Endowment Files</i></b> Provide information regarding agreements established for the benefit of the UW School of Medicine and its programs. Files may include fund information (narrative, annual and Consolidated Endowment Fund reports); directives for utilization of fund monies; copies of endowment agreements; summary sheets; correspondence; stewardship records (ongoing donor relations and updated news of funds), and donor histories.	Retain for 1 Year after Funds Dispersed	Potentially Archival OFM
95 07 55581r1R1	<b><i>Topic Files</i></b> Subject files of general information unrelated to UW departments, divisions, or programs. May include newspaper clippings, journal articles, etc.	Retain for 2 Years after End of Calendar Year	OFM

**/27/05/01/**

**Med: Biological Structure: Willied Body Program**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 02 60043	<b><i>Product of Conceptus Files/Log</i></b> Documents the cremation of products of conceptus. Include copy of release, date of cremation, urnment, burial, etc. Retention requirements based on WAC 98-80-070 since UW acts as place of cremation.	Retain for 99 Years after Burial/ Return of Ashes	OPR
01 02 60041	<b><i>WBP - Donor Files</i></b> Files trace contact with donors and/or donor family when individual wills their remains to the UW. Files contain legal documentation and contract between the donor (or donor family) and UW. Files include donor form, information sheet on remains, correspondence, telephone notes, disposition form (where buried or where ashes sent), embalmers records, body storage information, shipping information, cremation information, etc. Retention requirements are based on WAC 98-80-070 since UW acts as place of cremation.	Retain for 99 Years after Burial/ Return of Ashes	OPR
01 02 60042r1R1	<b><i>WBP Donor Files - No Contact/Withdrawal</i></b> Donor forms for individuals registered with program for which no contact can be made (moved) or person has decided to withdraw from program. Includes donor form, notes regarding contact, correspondence, etc.	Retain for 50 Years after Withdraw or Last Contact	OPR

**/27/06/**

**Med: Comparative Med: Administration/Vet. Services**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 MM 52788r1R4	<b><i>Animal Health Record</i></b> Provides record of base data regarding the health of a research animal, physical exam results, lab evaluations, etc. Includes animal identification number, USDA number, lab work requests & reports, Dead or Sick Animal Report/Treatment Orders, Post-Surgical Care Reports, X-Rays, etc.	Retain for 6 Years after Animal Death or Disposition	OPR
93 8 52792r1R3	<b><i>Long Distance Telephone Log</i></b> Provides record of administrative monitoring of long-distance calls made by each employee each month.	Retain for 2 Years after End of Month	OFM
<b>/27/06/01/ Med: Comparative Med: Diagnostic Lab</b>			
<i>Research</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51549r2R3	<b><i>Diagnostic Animal Specimens</i></b> Provides record of animal tissue samples, serum, etc., filed according to lab request number. Also used for teaching purposes after being utilized in diagnosis.	Retain for 1 Year after End of Calendar Year	OFM
92 12 51544r1R3	<b><i>Lab Service Request Form</i></b> Provides record of a request from another unit or department for services of the Comparative Medicine Diagnostic Lab. Notes results of lab services and serves as report to requester. Now available in electronic format.	Retain for 6 Years after End of Calendar Year	OPR
92 12 51543r1R3	<b><i>Laboratory Results Reports</i></b> This series provides a record of reports written by the Diagnostic Lab in response to testing animal tissue, byproducts, serum, or autopsies, etc., for diseases, parasites, etc. May include Parasitology, Histopathology, Microbiology, Necropsy, and Serology Reports, etc., and includes Rodent Health Monitoring Reports. Now available in electronic format.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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07 12 61671	<b><i>Quality Assurance Schedule</i></b> This schedule, found in the VADDs database, lists the sentinel rodents selected for testing each quarter. A hardcopy is printed and used while gathering the rodents for testing, and any pertinent information, such as change in animal numbers, etc., recorded on the hardcopy during the rodent collection process is entered into the database.	Retain for 1 Year after End of Quarter	OFM
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**/27/06/02/**

**Med: Comparative Med: Animal Facilities**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 8 52787	<b><i>Animal Care Logs</i></b> Provides record of daily and weekly care of research animals. May include feeding times, health issues, etc.	Retain for 6 Years after End of Calendar Year	OPR
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07 12 61668	<b><i>Monitoring System Records</i></b> This series provides a record of measurements of air, humidity, light, etc. in the animal rooms. May be in electronic or hard copy form.	Retain for 6 Years after End of Calendar Year	OPR
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07 12 61667	<b><i>Sterilization and Maintenance Logs</i></b> This series provides a record of the maintenance of equipment used for sterilization in the Animal Facilities.	Retain for 6 Years after End of Calendar Year	OPR
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**/27/06/03/**

**Med: Comparative Med: Transgenic Resource Program/Colony Management**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61673	<b><i>Cryopreservation Log</i></b> This series provides a record of the location of frozen embryos. Includes date, principal investigator, strain, location, comments, etc. Includes billing information.	Retain for 6 Years after Administrative Purpose Served	OPR
07 12 61674	<b><i>Experimental Procedures or Protocols</i></b> This series provides a record of new procedures or protocols developed for embryo manipulation.	Retain for 6 Years after Superseded	OFM
07 12 61672	<b><i>Injection Summary</i></b> This series provides a record of embryo manipulation. Includes the name of Principal Investigator, construct injected, individual injection number, embryos implanted, budget number, etc. Includes billing information.	Retain for 6 Years after Administrative Purpose Served	OPR
07 12 61676	<b><i>Request for Services</i></b> This series provides a record of requests for services. May include Request for Generation of Transgenic and Knockout Mice and Request for Embryo Cryopreservation.	Retain for 6 Years after End of Calendar Year	OPR
07 12 61675	<b><i>Tail Sheets</i></b> This series provides a record of the genetic history of a mouse. Includes strain, dame, sire, number of pups born, generation, birth date, line, tag number, phenotype, sex, genotype, principal investigator's name, and date tails taken, etc.	Retain for 1 Year after Administrative Purpose Served	OFM

**/27/07/03/**

**Med: Family Medicine: Residency Network**

Academic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 02 45844	<b><i>Affiliated Residence Program Network Files</i></b> Provides documentation of activities and actions involving the Affiliated Residence Program Network. May include correspondence, minutes, Annual Reports, Program Guidelines, newsletters, Agreements for Affiliation, reports, Grants and Contract support data, etc.	Retain for 10 Years after End of Calendar Year	Potentially Archival OFM
98 06 58528	<b><i>Graduate Follow-up Survey - Reports</i></b> Final reports based on raw data gathered during survey of graduates. Provides information used to develop program and curricula.	Retain for 5 Years after Final Report Completed/Submitted	Archival OFM
98 06 58529	<b><i>Graduate Follow-up Surveys - Raw Data</i></b> Survey of graduates who participated in Family Medicine Residency Program. Provides information regarding salary levels, current positions, job history, and data on classes and usefulness of program. Raw data is compiled into reports for use in future programming.	Retain for 3 Years after End of Survey	OFM

## **/27/10/ Med: Medical Education and Biomedical Informatics**

### *Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
82 9 20210r1.R1	<b><i>Examination Score Summaries</i></b> Summarizes the examination scores from all tests administered or proctored by Medical Education. Each examination score can be found in the individuals student folder.	Retain for 1 Year after Test Scored	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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99 06 59153	<b><i>Teaching Scholars Program Certificate Files</i></b> Files of individuals participating in the Teaching Scholars Program. Files include program information, applications, correspondence, letters, research papers, etc. This program is for a certificate only, it does not earn the individual any type of academic credits or degree.	Retain for 5 Years after Completion of Program	OFM
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**/27/11/04/**

**Med: Rehab Med: Resident Training Program**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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96 02 56477r1R3	<b><i>Medical Resident Evaluation of Residency/Fellowship Training Program/Faculty-Summary</i></b> Annual summary of medical resident/fellow evaluation of clinical training and instructor. Compiled per teaching site and per faculty member. May be used in connection with faculty promotion issues.	Retain for 5 Years after Summary Complete	OFM
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96 02 56476r1R3	<b><i>Medical Resident/Fellow Evaluation of Residency Training Program/Faculty</i></b> Provides a record of medical resident/fellow evaluation of clinical training and opportunities for patient contact as well as evaluation of instructor effectiveness and skill. May be used in connection with faculty promotion issues.	Retain for 1 Year after End of Academic Year	OFM
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**/27/11/05/**

**Med: Rehab Med: Physical Therapy Curriculum**

*Academic*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52082	<b><i>Student Statistical Reports</i></b> Provides a record of enrollment data, tuition figures, hiring trends, student profiles, and other related statistics. May include: Analysis of Tuition Revenues Generated by PH.D. and Non-MD Undergraduate Programs, Hiring Trends on Recent UW Graduates, Graduate Student Tuition, Enrollment/Graduate Statistics for Academic Programs, Minority Enrollment, Part Time Program Admissions, Full Time Program Enrollment, etc.	Retain for 1 Year after End of Quarter	Potentially Archival OFM
93 03 52083	<b><i>Surveys</i></b> Provides a record of reports and surveys generated from Student Statistical Reports for internal use, the Higher Education Coordinating Board, Health Personnel Resource Plan, Academic Services, National Science Foundation, National Institutes of Health, and others.	Retain for 3 Years after End of Calendar Year	Potentially Archival OFM

**/27/11/07/**

**Med: Rehab Med: Employment Training Program**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 07 58552r1.R1	<b><i>CHRIS Reports</i></b> Monthly report completed by this office as part of their contractual obligations. Per employment specialist per client, used to track number of hours, travel time, total number of hours the client worked, client salary, etc. (Required for 7 years as per King County Developmental Disability Contract.)	Retain for 7 Years after End of Month	OPR
98 07 58553	<b><i>Client Files</i></b> Filed by contract, provides a record of employment specialist contact with DD clients. Includes work history, extensive notes regarding client, intake forms, biyearly evaluation of client, etc.	Retain for 8 Years after Termination Form Completed	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 58554	<b>Daily Log</b> Provides an accounting of employment specialist work time. Audited by granting agencies, includes time spent traveling, time in staff meetings, time with client, etc. (Required for 7 years as per King County Developmental Disability Contract.)	Retain for 7 Years after Funding Period	OPR
98 07 58555	<b>DVR Billings</b> Provides a record of ETP billing sent to the Division of Vocational Rehabilitation. Includes employment plan for client, DVR Authorization for Purchase of client services, employment report, hours billed, etc. (Required for 7 years as per King County Developmental Disability Contract.)	Retain for 7 Years after Funding Period	OPR
98 07 58556	<b>Placement &amp; Termination Forms</b> Documents the placement or termination of individual clients from either a particular job or from the program.	Retain for 8 Years after End of Calendar Year	OPR

## **/27/13/01/ Med: Allergy and Infectious Diseases: Allergy**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 11 60826	<b>Student Evaluation Source Documents</b> Documents used to compile an evaluation of Fourth Year Medical Student performance while working at the Allergy Clinic. Final evaluation created from these source documents is maintained in the student folder.	Retain for 3 Months after End of Quarter	OFM

## **/27/19/01/ Med: Northwest Lipid Research Laboratories**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53276r2R4	<b><i>Assay Results/Printouts</i></b> Analyzer printouts which provide a record of values of samples. Includes samples, sample ID numbers, standard curve and values, results. Also includes reports from Laboratory Medicine located at the UW Medical Center.	Retain for 15 Years after End of Calendar Year	OPR
93 11 53273r1R3	<b><i>Calibration Records</i></b> Provides a record of tests and necessary adjustments made to instruments substantiating accuracy.	Retain for 15 Years after End of Calendar Year	OPR
93 11 53280	<b><i>Certificates</i></b> Provides a record of certificates granted to labs who have received certification in lipid testing.	Retain for 2 Years after End of Calendar Year	OFM
94 04 53702r1R3	<b><i>Equipment Maintenance Records</i></b> Provides a record of the service history of a particular machine. May include service contract form, copy of purchase order, etc.	Retain for 15 Years after End of Calendar Year	OPR
93 11 53278r1R3	<b><i>Hard Copy Runs</i></b> Provides a record of initial test results of samples submitted by labs seeking lipid testing certification.	Retain until Administrative Purpose Served	OFM
93 11 53275	<b><i>Lab Journal--Analysis Posting Summary</i></b> Provides a record of test results as they are posted to computer database.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53274r1R3	<b><i>Load List</i></b> Analyzer printouts which provide a list of samples on a given run and the quality control associated with their testing. (Actual sample analysis is electronic.)	Retain for 15 Years after End of Calendar Year	OPR
93 11 53265r1R3	<b><i>Master Log</i></b> Database which provides a tracking record of the study sample(s) submitted to the Northwest Lipid Research Lab for testing. Includes the draw date of the sample, date and time of sample receipt, ID number assigned to the study, patient name, patient profile, sample ID number, investigator/site, comments, age and sex of patient.	Retain for 15 Years after End of Calendar Year	OPR
93 11 53277	<b><i>Orders</i></b> Provides a record of requests submitted by labs seeking certification in lipid testing. Includes samples, lab ID number, lab name, ID number assigned to each sample. (Certification is effective for a period of two years.)	Retain for 2 Years after End of Calendar Year	OFM
93 11 53262r1R3	<b><i>Procedure Manual</i></b> Provides a record of a written procedure for the performance of all analytical methods used by the lab. Includes calibration and calibration verification procedures, accepted values (reference range), protocols, etc.	Retain for 15 Years after Procedure Discontinued	Potentially Archival OPR
93 11 53258 r1R3	<b><i>Protocol Development</i></b> Provides a record of the development of procedures and standards by which lipoprotein tests are run. Includes, protocols, correspondence, memoranda, notes, data, analyses.	Retain for 15 Years after End of Calendar Year	Archival OPR
93 11 53272r1R3	<b><i>Quality Controls (Reference Range)</i></b> An electronic record of testing of known samples providing data to assure that test results are within given parameters.	Retain for 15 Years after Superseded	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53279	<b><i>Regional Lipid Analysis Basic Survey Results</i></b> Provides a record of results run on samples submitted by labs seeking lipid testing certification.	Retain for 2 Years after End of Calendar Year	OFM
08 12 61975	<b><i>Specimen Management Work Orders and Documentation</i></b> This series provides a record, in chronological order, of work orders related to specimen management, including return to investigator shipments, sample destruction requests, sample pull requests, sample storage requests, etc.	Retain for 6 Years after End of Calendar Year	OPR
93 11 53259	<b><i>Standardization</i></b> Provides a record of the efforts to standardize lipoprotein test results on an international level. Includes correspondence, data, results, analyses, reports.	Retain for 5 Years after End of Calendar Year	Archival OFM
93 11 53271	<b><i>Study Files</i></b> Provides the complete record of request for lab services and cumulative reports on results if printed. Includes contract/agreement with private investigator, correspondence, quarterly report, summary of results, protocol, etc.	Retain for 6 Years after Study Complete	OPR
93 11 53281	<b><i>Waste Disposal Records</i></b> Copies of standardized form sent to the UW Radiation Safety Office to document receipt, testing, and use of radioactive materials in the lab. Describes current balance of radioactive activity on hand, on order, limit, and release to the environment.	Retain for 1 Year after End of Calendar Year	OFM
<b>/27/21/01/</b> <i>Research</i>	<b>Med: Oncology: Tumor Vaccine Group</b>		

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 01 61404	<b><i>Ineligible Pre-screening Records</i></b> This series consists of medical records, which physicians send to the Tumor Vaccine Group, for patients who could be potential participants in a clinical trial but who, upon review, are not eligible for participating in a specific clinical trial.	Retain for 2 Years after Determined ineligible for study	OFM

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**/27/22/ Med: Orthopaedics and Sports Medicine**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 06 55543	<b><i>Department Annual Research Reports</i></b> Comprised of research reports produced by residents of the Department of Orthopaedics to satisfy program degree requirements. In bound format, these reports include floppy disks, photographs, statistical research, etc.	Retain for 5 Years after End of Calendar Year	OFM

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**/27/24/01/ Med: Psychiatry and Behavioral Sciences: Psychiatry Residency Training Program**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 01 61084	<b><i>CME Course Registration Forms</i></b> Provides a record of participants who registered for a Continuing Education Course. These forms only apply to those participants who are not MDs; the forms for MDs, are forwarded onto the CME office.	Retain for 6 Years after Completion of Course	OPR
99 08 59254	<b><i>Resident Files - Applicants Ineligible</i></b> Resident applications for individuals who did not complete the admissions packet.	Retain for 1 Year after Completion of Admissions Process	OFM

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**/27/30/03/**

**Med: Obstetrics and Gynecology: Oncology**

research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 1 47268	<b>Research Case Study Histories</b> Provides documentation of patient examination and treatment. May include: pathology reports, operative notes, initial diagnosis, correspondence, discharge summaries, etc. (Official Patient Chart is retained by UMC Patient Data Services.)	Retain for 15 Years after Last Patient Contact or Inactive	OFM

**/27/31/**

**Med: Ophthalmology**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 04 57702	<b>Eye Pathology Case Files</b> Research and teaching files, may contain correspondence regarding diagnosis and pathology findings, 35 mm slides for research and teaching presentations.	Retain for 15 Years after End of Calendar Year	OFM
97 04 57703	<b>Housestaff Applicant Files -- Not Accepted</b> Provides a record of applicants to housestaff programs who were not accepted. May include: application materials, correspondence, transcripts, recommendations, faculty reviews, etc. Used to compare applications submitted by denied applicants when re-applying.	Retain for 5 Years after Applicant Denied	OFM

**/27/37/**

**Med: Radiology**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 4 46136 R1.R2	<b><i>Clinical Faculty Files</i></b> Provides a record of personnel actions, a record of clinical services hospital privileges, and of UWP agreements regarding clinical faculty. Clinical Faculty are courtesy appointments who do not primarily work at the UW but may often return after periods of working elsewhere.	Retain for 6 Years after Separation of Appointment	OFM
98 10 58836	<b><i>Equipment History File</i></b> Provides a record of the acquisition details regarding the purchase of each piece of electronic or scientific equipment. Used to track ownership and requirements for disposition. May include maintenance record, etc.	Retain for 6 Years after Final Disposition of Equipment	OPR
90 4 46135 R1.R2	<b><i>Residency and Fellowship Applications--Interviewed--Not Accepted</i></b> Provides record of residency applicants who were interviewed but not accepted into the program.	Retain for 4 Years after Application Process Complete	OFM
98 10 58835	<b><i>Residency Applications--Not Interviewed--Not Accepted</i></b> Provides a record of residency applicants who were not interviewed and not accepted into the program.	Retain for 1 Year after Application Process Complete	OFM

**/27/40/01/**

**Med: ITECH**

Research



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 09 46732	<b>Curriculum Review Payments</b> Provides record of payments to nurses' and doctors' associations regarding offering educational credits for programs within CHER who offer training.	Retain for 3 Years after End of Fiscal Year	OFM
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90 09 46733	<b>Curriculum Review Requests</b> Provides record of curriculum review by nurses and doctors associations for the purposes of determining whether CHER programs qualify to offer educational credits to participants.	Retain for 3 Years after End of Calendar Year	OFM
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## **/27/41/ Med: MEDEX Northwest Program**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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83 2 31210r3R3	<b>Curriculum Files</b> This series provides a record of the scope and content of MEDEX courses. Includes didactic syllabus or clinical preceptor and student manual which may contain course description, lecture list, outlines, objectives, grading criteria, bibliographies, examinations, textbook lists, instructional materials, course workshop or activity descriptions.	Retain for 3 Years after End of Calendar Year	Potentially Archival OFM
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## **/27/46/ Med: Introduction to Clinical Medicine**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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92 03 50170	<b>Consent Forms</b> Provides a record of written authorization from individuals serving as subjects for physical exams, medical history interviews, videotaped interviews, etc.	Retain for 6 Years after End of Quarter	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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92 03 50176	<b><i>Videotapes of Interviews</i></b> Provides visual record of medical history interviews conducted by students with consenting subjects. (Videotapes are to be erased at the end of the quarter.)	Retain until End of Quarter	OFM
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## 28 School of Dentistry

*Academic Offices*

### /28/01/02/ Dentistry: Student Life and Admissions

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 12 47097	<b><i>Admissions Statistics</i></b> Provides record of Admissions Committee analysis of annual admissions to the bachelors and professional programs of the School of Dentistry.	Retain for 5 Years after End of Calendar Year	Archival OFM
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90 12 47101r1.R1	<b><i>Class Ranking List -- Year End</i></b> Compilation of quarterly class ranking lists to identify the class by GPA at the end of the academic year. This report lists the GPA to the exact point and is used to identify awards for class members.	Retain for 6 Years after End of Academic Year	OFM
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06 10 61350	<b><i>Degree Verification</i></b> This series provides a record of requests from former students or credential services requesting verification of a student's graduation from the University of Washington School of Dentistry. Includes a copy of what is sent to the requestor.	Retain for 2 Years after End of Calendar Year	OFM
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90 12 47106	<b><i>Dental Admissions Test Score Report Summaries</i></b> Provides annual summary report of all applicant scores on Dental Admissions Test. (Individual student scores on Dental Admissions Test are filed in Professional Student Admissions File.)	Retain for 2 Years after End of Calendar Year	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47108r1.R1	<b><i>Final Exam Schedule</i></b> Provides record of final exam times for School of Dentistry classes. Final exam schedules for the School of Dentistry do not follow the same schedule as the rest of the UW academic departments. Includes class name, time of exam and location.	Retain for 1 Year after End of Calendar Year	OFM

90 12 46958r2R2	<b><i>Regional and National Board Results</i></b> Provides record of pass/fail rate for dental students taking the State and National Dental Board Exam. Includes lists of students who pass, those who fail, and summary reports.	Retain for 10 Years after End of Calendar Year	Archival OFM
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## **/28/02/ Dentistry: Alumni Affairs and Development**

### *Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 46943r1.R1	<b><i>Fundraising Files</i></b> Provides record of fundraising effort for the School of Dentistry. Includes brochures, Development Advisory Council notes, campaign strategy planning documentation, etc. May also include files regarding campus-wide fundraising, of which a portion of the funds may go to Dentistry.	Retain for 5 Years after End of Fiscal Year	Potentially Archival OFM

## **/28/05/ Dentistry: Office of Clinic Services: Patient Registration and Records**

### *Patient Registration and Records*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 3 47530 r1.R2	<b><i>Short-term Plaster Study Models</i></b> Provides the dental student with a plaster model of a patient's pre- and/or post treatment dental condition. Used for short-term training purposes.	Retain for 6 Months after Teaching Purpose Served	OFM

**/28/05/02/**

**Dentistry: Office of Clinic Services: Clinic Operations**

*Support Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 04 61452	<b><i>Instrument Check-Out</i></b> This series provides a record of equipment checked out from Sterilization and is used to reconcile the inventory.	Retain for 3 Years after Finals Week	OFM
07 04 61451	<b><i>Log of Spore Tests</i></b> This series provides a record of spore tests performed on the sterilization equipment. Contains dates, person(s) conducting the tests. Retention period as per WAC 246-812-520.	Retain for 6 Years after End of Calendar Year	OPR

**/28/05/04/**

**Dentistry: Office of Clinical Services: Accounting and Patient Accounts Office**

*Accounting*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61271	<b><i>Bag Log In/Out Sheets</i></b> This series provides a record of who delivered or picked up a clinic's money bag from the Patient Accounts Office.	Retain for 6 Years after End of Month	OPR
06 09 61316	<b><i>Change Fund Log</i></b> This series provides a record of whether a clinic has the appropriate amount of money contained within their Petty Cash Fund.	Retain for 6 Years after End of Month	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61270	<b><i>CITI Health Card Applications</i></b> This series provides a record of credit card applications filled out on-site by patients. The application is faxed to CITI Bank. May also include a Merchant Disbursement Notice.	Retain for 1 Year after End of Month	OFM
06 09 61269	<b><i>Claim Transmission Reports</i></b> This series is a report received from WebMD stating which claims were successfully uploaded into their system and which claims had data errors and needed to be resubmitted.	Retain for 1 Year after Data Uploaded and Verified	OFM
04 02 60646	<b><i>Clinic Bank Records</i></b> Provides a record of financial transactions for clinics within the School of Dentistry. Includes banking records. May include refund checks, credit card receipts, internal JVs which transfer funds from clinic to clinic, cash log which is reconciled to clinic receipt, etc	Retain for 6 Years after End of Month	OPR
06 09 61267	<b><i>Faculty Cash Log</i></b> This series provides a record of the amount of money that was contained within the clinic's money bag.	Retain for 6 Years after End of Month	OPR
09 05 62020	<b><i>Monthly Dental Practice Plan Calculations</i></b> This series provides a record of the documents and calculations used to identify the income that faculty receive from practicing at any School of Dentistry clinic.	Retain for 6 Years after End of Calendar Year	OPR
06 09 61266	<b><i>Student Clinic Cash Log</i></b> This series provides a record of how much money and in what form was contained within the clinic's money bag.	Retain for 6 Years after End of Month	OPR

**/28/05/05/**

**Dentistry: Faculty Practice Clinic**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 03 61769	<b>Diagnostic Plaster Models - Teaching Value</b> These are models used for teaching purposes for students in the School of Dentistry. Provides a plaster record of patient condition in untreated state and after treatment.	Retain until Administrative Purpose Served	OFM

**/28/08/**

**Dentistry: Office of Research**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 6 59188r1R2	<b>Personnel Records -- NIH Dentist Scientist Award (DSA)</b> Personnel records for holders of NIH Dentist Scientist Awards. For purposes of evaluating the DSA, NIH requires institutions granting these traineeships to follow the careers of awardees for a period of 10 years after leaving the program. This award terminated in June 30, 2005.	Retain for 10 Years after End of Calendar Year	OFM

**/28/12/**

**Dentistry: Oral Health Sciences**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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91 1 47327r1.R3	<b>Information Requests Log</b> Provides record of statistics on the numbers and types of requests from potential applicants for information about dental hygiene program. Information from the log is used to complete a state questionnaire on the program which asks for information as far back as 5 years.	Retain for 5 Years after End of Calendar Year	OFM
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06 10 61349	<b>Intake Forms</b> This series provides a record of initial contact with individuals wanting to become a patient of the Dental Fears Faculty Clinic. If the individual becomes a patient, this paperwork is placed in their Patient Chart. If the individual does not become a patient, the paperwork is retained, should he/she decide to become a patient.	Retain for 5 Years after Determined eligible or Ineligible to be a patient	OFM
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## **/28/16/01/ Oral Medicine: Dental Education in Care of Persons with Disabilities**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 12 46962	<b>Evaluations -- Post Graduates</b> Provides record of evaluations and pre/post test results of Dentists and Hygienists who have taken advanced training courses from DECOD.	Retain for 3 Years after End of Calendar Year	OFM
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## **/28/17/02/ Dentistry: Oral & Maxillofacial Surgery: Oral Pathology**

Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 12 46988r2R1	<b>Biopsy reports (Pathology)</b> Provides a medical record of examination made of patient tissue. Also used for research purposes.	Retain for 30 Years after End of Calendar Year	OPR
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**/28/18/**

**Dentistry: Orthodontics: Faculty and Graduate Clinic**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 1 47297	<b><i>Diagnostic Plaster Study Models</i></b> Provides plaster record of patient condition in untreated state and after treatment. Includes plaster model and updated research material on patient. Retained for 10 and 20 year research studies required for orthodontics degree.	Retain for 25 Years after Last Contact	OPR
91 1 47315r1.R3	<b><i>Status/Examination Cards for Accepted Patients</i></b> Provides screening information used to determine whether a patient will be accepted for treatment, based on financial ability of patient to pay and teaching value to the School. Provides record of untreated condition.	Retain for 5 Years after Original Screening	OFM

**/28/19/**

**Dentistry: Pediatric Dentistry: Administration**

*Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47016	<b><i>Student Progress Records</i></b> Provides record of professional pre-doctoral (undergrad) student clinical work in treating patients. For each student includes the number of hours worked in the clinic, grades and faculty comments.	Retain for 2 Years after Degree Granted	OFM

**/28/19/01/**

**Dentistry: Pediatric Dentistry: Pediatric Clinic**

*Research*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47019	<b><i>Diagnostic Plaster Study Models</i></b> Provides plaster record of patient condition in untreated state and after treatment.	Retain for 8 Years after Last Patient Contact or Age 18	OPR

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## **/28/22/ Dentistry: Restorative Dentistry & Prosthodontics**

### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55739	<b><i>Correspondence- Routine</i></b> Provides a record of routine written communications between department and patients, applicants, and students.	Retain for 1 Year after End of Calendar Year	OFM
91 12 49572r1.R2	<b><i>Diagnostic Plaster Study Models</i></b> Provides plaster record of patient condition in untreated state and after treatment. The models are used for teaching purposes for students in the School of Dentistry.	Retain for 10 Years after End of Calendar Year	OFM
07 08 61590	<b><i>Student Quarterly Report</i></b> This series provides a record of student progress and class averages of the number of procedures completed, sessions attended, progress notes, etc.	Retain for 1 Year after Class Graduates	OFM

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## **29 School of Nursing**

### *Academic Offices*

**/29/02/01/**

**Nursing: TIER: Nursing Learning Lab**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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07 08 61607

***Consent Forms for Nursing Lab Procedures***

This series provides a record of student acknowledgement that the UW is not liable if they injure themselves while practicing lab skills in the Nursing Lab. Procedures may include IV starts, blood draws, venipuncture, injections, etc. Students are supervised at all times in a controlled environment when performing these procedures.

Retain for 6 Years after  
Degree Awarded/ Last  
Activity

OPR

**/29/03/08/**

**Nursing: Family and Child Nursing: Center on Infant Health and Development**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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11 12 62906

***Client Case Files (Newborns - 5 yrs old)***

This series provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Client Statement of Understanding, Evaluation of Effectiveness of Services (consent form), Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract and Notes, Consent for Clinical Research, Client Contact Sheet, Assessment Report and related instruments, Case Student Training Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Post Follow-up Questionnaire, process notes, audio/visual recordings, etc. Retention as per WAC 246-924-354 (2).

Retain for 22 Years  
after Last Contact with  
Client

OPR

**30**

**School of Pharmacy**

*Academic Offices*

**/30/02/**

**Pharmacy: Office of Academic and Student Programs**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 04 59066	<b><i>Waiver &amp; Recommendations</i></b> This series is comprised of the recommendations for admission, and student waiver of the right to view those recommendations that are part of each application for admission to School of Pharmacy. Originally part of the Application packet, the waiver and recommendations are separated out when the Application Packet becomes the Student Folder. Once the decision has been made to admit or not to admit an applicant, the recommendations and waivers are removed from the student's application folder. Because these recommendations are not open to students, the recommendations and waivers are filed separately from the Student Folders which are open to students.	Retain for 6 Years after Admission Granted or Denied	OPR

**/30/04/**

**Pharmacy: Alumni Office**

*Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 12 53417r1.R1	<b><i>By-laws</i></b> Documents bylaws and mission statement of non-profit Alumni Association.	Retain for 5 Years after End of Academic Year	Potentially Archival OFM
93 12 53424	<b><i>Income Tax Returns</i></b> Provides a record of Income Tax Returns filed by the School of Pharmacy: Alumni Office.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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93 12 53421	<b>Membership Forms</b> Provides the only record of the purchase of Alumni Association memberships. Includes membership applications/renewals and may include copy of check.	Retain for 6 Years after End of Calendar Year	OPR
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05 08 60947	<b>Registration Forms (Events)</b> Documents registration and payment information for Alumni Association sponsored events.	Retain for 6 Years after End of Academic Year	OPR
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## **/30/08/ Pharmacy: External PharmD**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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02 06 60365	<b>External PharmD Certificate Files - Withdrawn or Incomplete</b> Provides a record of history of candidates enrolled in the External PharmD program, but who withdrew or did not complete the program.	Retain for 10 Years after Last Activity	OFM
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## **31 School of Social Work**

*Academic Offices*

### **/31/02/ Social Work: Admissions and Student Services**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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92 01 49627	<b>Practicum Agency Assignments</b> Provides record of social work agencies in which students have been placed to fulfill their practicum requirements.	Retain for 1 Year after End of Quarter	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 01 49630	<b><i>Special Admissions Appeals</i></b> Provides record of special case admissions appeals, such as cases of alleged discrimination.	Retain for 1 Year after Case Resolved or Withdrawn	OFM

## 32 Interdisciplinary Programs or Offices

*Academic Offices*

### /32/05/ Women's Center

*Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 5 44277r2R3	<b><i>Class Planning</i></b> Files provide a record of the development of classes sponsored by or offered at the WIC. May include proposals, syllabi, bibliographies, instructor background, course evaluations, etc.	Retain for 5 Years after End of Quarter	Potentially Archival OFM
99 01 58987r1R4	<b><i>Making Connections - Planning Files</i></b> Files provide information on the planning, development, funding and management of Making Connection programs. May include correspondence, development ideas, funding and financial information, proposals, etc.	Retain for 6 Years after End of Program	Potentially Archival OPR
89 5 44274r2R3	<b><i>Special Events Files</i></b> Files contain information regarding special events either sponsored by WIC, co-sponsored with other agencies, or sponsored by outside agencies and offered at the WIC. Special events may include Take Back the Night, special speakers or guest lecturers. Files may include agendas, correspondence, budget information, reference materials and event development.	Retain for 5 Years after End of Event	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 01 58985	<b>WIC Instructor Agreements</b> Agreements with instructors to teach a class through WIC. Includes instructor name, class being taught and WIC rules and regulations. For UW staff members, payroll information can be found in payroll or purchasing.	Retain for 6 Years after Termination of Agreement	OPR

## 33 Vice Provost for Diversity and Vice President for Minority Affairs

*Student Outreach and Support Services for Minorities*

### /33/01/ OMAD: Administration

*Administrative office for Office of Minority Affairs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 11 59349	<b>HEC Diversity Report</b> Report documents diversity efforts from various colleges, schools and departments on campus. Submitted to Higher Education Committee (HEC).	Retain for 5 Years after Submittal to HEC	Archival OFM

### /33/02/ OMA: Counseling Center

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 02 45857r1.R2	<b>Unit Statistics</b> Statistical record of student progress, academic standing, etc. produced by the Registrar's Office or Undergraduate Admissions and used by Counseling Center to produce reports.	Retain for 5 Years after End of Calendar Year	OFM
90 02 45850r1.R2	<b>Universal Placement Test Scores</b> Provides a record of test scores received by students who are seeking admission to the University.	Retain for 2 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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### /33/04/ OMA: Early Identification Program/McNair Program

#### Student Programs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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99 08 59262	<b>EIP Participant Advising Files</b> Files for participants in the Early Identification Program. Used to track and monitor participants and their progress towards reaching educational goals. Includes intake interviews, track visits, educational interests and goals, personnel information, research papers, etc.	Retain for 6 Years after Graduation or Last Contact	OFM
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### /33/07/ OMA: Instructional Center

#### Academic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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90 09 46679r2.R2	<b>Student Referral Forms</b> Registration/referral form completed by non-EOP, MSEP or EIP student who wish to use Instructional Center resources. If a non-EOP, MSEP or EIP student is accepted and allowed to use the Center, the information from their form is inputted into the Registration Database. For students who are denied, the form includes information on where the student was referred to. Used to monitor the number of non-EOP, MSEP or EIP students requesting services and provide statistical reports for future planning.	Retain for 3 Years after Data Entry/Form Denied	OFM
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05 03 60821	<b>Student Sign-In Log</b> Log students sign upon first visit to the Instructional Center. Input into the Registration Database and used to create scan card. Includes names, student number, EOP student status and referral information.	Retain for 1 Year after Data Entry	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 03 60822	<b><i>Temporary Attendance Sheets - Tutors</i></b> Provides record of tutor attendance at Instructional Center. Temporary sheets are used to allow tutors to sign in and out for an area in the case they have forgotten or misplaced their scan cards. Information from the sheet is inputted into the Tutor Database.	Retain for 3 Years after Data Entry	OFM
05 03 60823	<b><i>Tutor Database</i></b> Database that tracks the activity of the tutors working for the Instructional Center. Includes time in and out, classes tutored for, personal information, etc. Input is from applications and temporary attendance sheets.	Retain for 6 Years after Last Contact	OPR
94 04 53728r1.R2	<b><i>Universal Placement Test - Math Portion</i></b> Record of math portion of the Universal Placement Test which is administered by the Instructional Center. Includes test results and recommendation for placement. The results and recommendation are also forwarded to Undergraduate Admissions.	Retain for 3 Years after End of Calendar Year	OFM

**/33/09/**

## **OMA: Early Scholars Outreach Program**

### *Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 08 59260	<b><i>Early Scholars Outreach Participant Files</i></b> Files track and monitor the academic progress of the participants of the Early Scholars Outreach Program. Participants are tracked from middle school, through high school and into their first year of college. Includes application, tutorial file, grade reports, school data, personal and parent data, correspondence, etc.	Retain for 8 Years after Last Contact	OFM
99 08 59261	<b><i>Early Scholars Outreach Participant Files - Not Accepted</i></b> Application files for individuals applying for ESOP who were not accepted.	Retain for 1 Year after Acceptance Denied	OFM



**/33/11/**

**OMA: Upward Bound**

*Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 5 44282r2R2	<b><i>Upward Bound Participant Files</i></b> Provides academic record of each student participating in the Upward Bound program and includes not accepted applicants. May include application, chronological contact log, correspondence, instructors comments, letters of recommendation, etc. Files are used to track and monitor the success rate of participants who have been involved in the program and also act as a supplement to high school files as they are used to write letters of recommendations, etc.	Retain for 15 Years after High School Graduation / Withdrawal from Program	OFM

**34**

**Warren G. Magnuson Health Sciences Center**

*Research, Campus Health Services and Environmental Health and Safety*

**/34/04/**

**Office of Animal Welfare**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 09 61624	<b><i>Animal Housing and Service Area Access Renewal Forms</i></b> Forms submitted to the Office of Animal Welfare to ensure only authorized personnel gain access to the Animal Housing and Service Areas. The forms include the Specific Pathogen Free (SPF) Access Renewal Form and the Facility Access Renewal Form- For Non-Rodent Users. The Office of Animal Welfare confirms that all personnel requesting renewal are up to date on training required for access. Once the access rights have been verified using the Animal Use Session Participant Database, the Office of Animal Welfare uses this form to update the Campus Automated Access Management System (CAAMS) to allow access for a one year period.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 08 61593	<b><i>Letters of Counsel and/or Reprimand and/or Suspension to Primary Investigators (or</i></b> Letters that document noncompliance with policy, deviation from the provisions of the Guide for the Care and Use of Laboratory Animals, or suspensions of an activity by the Institutional Animal Care and Use Committee. Letters are kept to ensure that any patterns of noncompliance by an individual can be monitored and dealt with appropriately by the University.	Retain for 6 Years after Termination of Employment	OPR

93 8 52749	<b><i>Project Review Forms</i></b> Provides record of requests by researchers to use animals in their research. Protocols are valid for no more than 3 years. Approval is valid for one year from the date of approval by the Committee. For each subsequent year an annual renewal must be completed by the Principal Investigator. Includes project description, procedures that will be performed on animals, signed certification by the Principal Investigator, changes (amendments), dates of approvals, and monitoring reports. (Required by 9 CFR 2.35)	Retain for 6 Years after Approval Expires or is Superseded by New Approval	OPR
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## **/34/05/ EH&S: Department Administration & Finance Office (DAFO)**

### *Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52142r2.R4	<b><i>Environmental Health and Safety Training -- Program Files</i></b> Provides a record of Environmental Health and Safety training provided to UW staff, faculty and students. May include flyers, publications, newsletters, posters, policies and procedures, descriptions of training, training materials, etc.	Retain for 6 Years after End of Calendar Year	Potentially Archival OPR
94 04 53715r1R4	<b><i>Staff on Call Log</i></b> Provides a record of EH&S Staff-On-Call (SOC) response to emergency calls that develop during evenings, weekends, and holidays. The SOC logs are used to create reports to identify trends, future policy changes or projects and other reporting needs.	Retain for 5 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 12 62359	<b><i>Air Emissions Documentation</i></b> This series provides a record of reports filed with the Department of Health regarding radioactive air emissions. May include reports of air sampling, surveys, etc. Required to be maintained as per WAC 246-221-230.	Retain for 30 Years after End of Calendar Year	Archival OPR
10 09 62328	<b><i>Application for Unescorted Access to Quantities of Concern</i></b> This series provides a record of individual employees working in labs and departments at the UW who have unescorted access to radioactive materials in large quantities. This record series tracks an individual employee's access to these materials. The cut-off is triggered when the individual employee is no longer using these materials. May include copies of background checks, etc. Required for three years as per Washington State Department of Health Ex Parte Order of Summary Action and US Nuclear Regulatory Commission EA-07-305.	Retain for 3 Years after No longer using materials	OPR
90 5 46230r1.R2	<b><i>Authorization to Use Radioactive Material Files</i></b> Provides authorization for radioactive materials, possession of sealed sources, clinical practice of nuclear medicine, and use with human subjects. (Required to meet all employee training requirements as per 29 CFR 1910.120, 1960.59 and 1926.21.) Includes forms 14, 30, 31, 32, 50 & 51.	Retain for 30 Years after Termination of Authorization	OPR
90 5 46242r2R6	<b><i>Bioassay Tests</i></b> Provides a record of employee bioassay (thyroid) exams whose test results came back as zero burden.	Retain for 70 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46233	<b><i>Claim Tags</i></b> Provides identification of equipment being left at the NRICF facility for inspection and calibration.	Retain for 1 Year after Instrument Returned	OFM
90 5 46236r1.R2	<b><i>Client Tests/Reports</i></b> Provides a record of calibration tests performed on instruments as reported to equipment owner.	Retain for 10 Years after End of Calendar Year	OFM
90 5 46258	<b><i>Correspondence, Transitory</i></b> Provides a record of routine requests (i.e. inquiries about people who no longer work for Radiation Safety, publication requests, etc.)	Retain for 1 Year after End of Calendar Year	OFM
90 5 46260r1.R2	<b><i>Dump File (Radioactive Orders and Disposals)</i></b> Computer print-out detailing all radioactive orders which have been disposed of and are deleted from the office database. Also includes disposal records. This print-out is generated on an annual basis.	Retain for 30 Years after End of Calendar Year	Archival OPR
10 09 62329	<b><i>Laser Registration Form</i></b> This series provides a record of lasers being used on campus. Form includes location, Principal Investigator, equipment specifications, etc. Information is entered into office database.	Retain for 1 Year after End of Calendar Year	OFM
90 5 46235r1.R2	<b><i>Measurement Quality Assurance (MQA) Test Results/Reports Credentials and Accreditation</i></b> Provides documentation that office equipment has been calibrated to meet national standards. Equipment is then used to calibrate equipment in other departments. See NRICF Notifications.	Retain for 30 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46240r3R4	<b><i>Monthly Dosimetry Reports</i></b> Provides a record of the monthly processing of dosimetry badges which measure & record radiation exposure to personnel. Includes Report by Series Codes; the monthly reading of badges processed in a single monthly batch. Results are also included in an annual report which is prepared for each individual who is monitored for internal &/or external radiation exposure. Annual reports are filed in the individual's personnel file. Monthly reports provide detailed information on each months reading and are used to supplement the Personnel Files in exposure cases.	Retain for 70 Years after End of Calendar Year	OPR
90 5 46231r1.R2	<b><i>Northwest Radiation Instrument Calibration Facility (NRICF) Notification</i></b> Provides a record of notification to UW departments, laboratories and UW Medical Center that their instruments are due for calibration testing.	Retain for 2 Years after End of Month	OFM
90 5 46254r1.R2	<b><i>Nuclear Reactor Dismantlement</i></b> Documents operation and dismantlement of UW's nuclear reactor. May include correspondence, minutes of UW Nuclear Reactor Committee, etc.	Retain for 10 Years after Dismantlement Completed	Archival OPR
90 5 46253r1.R2	<b><i>Patient Survey Records</i></b> Provides record of contamination survey done of patient's room during and after radiation therapy. May also include contamination survey of patient.	Retain for 30 Years after End of Calendar Year	Potentially Archival OPR
90 5 46245r2R4	<b><i>Personnel Files</i></b> Documents personnel radioactive work history at the UW. May include correspondence, high/over exposure letters, worker history, applications for dosimeters, annual dosimetry reports, and bioassay test results which resulted in a burden, etc. (Employee medical exposure records are required for 30 years following termination of employment as per 29 CFR 1910.1020.) Includes form 15.	Retain for 70 Years after Termination of Work With Radiation	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46252r1.R2	<b><i>Radiation Machine Documentation</i></b> Provides documentation about radiation machines at facilities under the jurisdiction of the UW. May include registration, application, inspection records, and shielding and calculation correspondence.	Retain for 30 Years after Machine Inactive or Disposed	OPR
90 5 46257r1.R2	<b><i>Radiation Safety Committee Files</i></b> Provides record of activities of the Radiation Safety Committee. May include agendas, minutes, reports, correspondence, etc.	Retain for 6 Years after End of Calendar Year	Archival OFM
90 5 46237r1.R2	<b><i>Radiation Safety Correspondence</i></b> Provides a record of correspondence between Radiation Safety Office, departments at the UW, and outside agencies/individuals.	Retain for 5 Years after End of Calendar Year	Potentially Archival OFM
90 5 46238r1.R2	<b><i>Radiation Safety Monthly, Quarterly and Annual Reports</i></b> Provides a record of summary reports compiled by units of the Radiation Safety Office.	Retain for 3 Years after End of Biennium	Archival OFM
90 5 46250	<b><i>Radiation Safety Procedures Manuals</i></b> Documents procedures to be followed in the course of working with radiation. May include: Radiation Safety Operational Procedures, Radiation Safety Manual, UWMC Radiation Safety Manual, NRICF Procedures Manual, etc.	Retain for 5 Years after Superseded	Archival OFM
90 5 46247r1.R2	<b><i>Radiation Safety Training Examinations and Worker Right to Know Sheet)</i></b> Provides a record of the examination and test scores of individual employees upon completion of the Radiation Safety Training Class. Includes Radiation Training Notice which fulfills worker's right to know about the radiation they work with. (The Right to Know Sheet is required to comply with all hazard communication requirements as per 29 CFR 1910.1200.)	Retain for 30 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46259r3R5	<b><i>Radioactive Material Delivery and Usage Record (Form 160)</i></b> Provides a record of disposal of radioactive material orders. Entered into office database. Per WAC 246-221-230 (9) (f) and 40 CFR 262.23.	Retain for 5 Years after Database dump from Radiation Safety database	OPR
90 5 46251	<b><i>Radioactive Material Licenses</i></b> Provides a record of radiation license, application, and correspondence. May include Radioactive Materials License (WN-C00101), Radiation Oncology License, Food Irradiation License, Special Nuclear Material License (WN-C001-2-SNM), etc.	Retain for 6 Years after Renewal or Expiration	Archival OPR
90 5 46255r1.R2	<b><i>Sealed Source Leak Tests</i></b> Provides a record of sealed source surveys.	Retain for 30 Years after End of Calendar Year	Potentially Archival OFM
10 09 62330	<b><i>Short-Lived Radioactive Waste Certification (Form 176)</i></b> This series provides a record of the short-lived radioactive waste that is collected by the Radiation Safety Office. This form must be maintained for three years as per WAC 246-221-230 (9) (f).	Retain for 3 Years after End of Calendar Year	OPR
90 5 46246r1.R2	<b><i>Training and Experience in Radiation (Form 20)</i></b> Provides record of employee's personal data and current/expected use of radiation. May also document previous radiation work and experience.	Retain for 30 Years after Termination of Work With Radiation	OPR
90 5 46248r1.R2	<b><i>Unusual Incidents and Accidents</i></b> Documents reports and correspondence related to incidents and accidents involving radiation.	Retain for 6 Years after End of Calendar Year	Archival OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46239r1.R2	<b><i>Waste Disposal Records</i></b> Provides a record of radioactive waste disposals made by the UW. May include: Radioactive Waste Shipment and Disposal Manifest with Continuation Sheets, Liquid Scintillation Cocktail (LSC) Disposal, P-32 waste, onsite or decay disposal, etc. (Disposal Manifests are required to be retained as per 40 CFR 262.40.)	Retain for 30 Years after End of Calendar Year	Archival OPR

## **/34/05/02/ EH&S: Building and Fire Safety Office**

### *Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 09 59270r1R5	<b><i>Capital Safety Project Budget Files</i></b> This series provides a record of recommendations for the distribution of funds for building safety projects during a biennium. May include capital plans, studies, project summaries, priority lists, funding requests, etc.	Retain for 6 Years after End of Biennium	Archival OPR
99 09 59272r1R5	<b><i>Fire/Incident Investigation Reports</i></b> Record of investigation of fires and incidents in UW buildings. Includes photos, inspectors reports, interviews, details regarding alarm systems, etc.	Retain for 6 Years after Completion of Investigation	Potentially Archival OPR
12 06 68268	<b><i>Lab Closeout Documentation</i></b> This series provides a record of correspondence, between the EH&S Survey Team and the Principal Investigator of a lab, regarding failure to correct problems that were found during an inspection. Includes the initial letter and report, second notice, and close out letter.	Retain for 6 Years after Lab Closed	OPR



**/34/05/03/**

**EH&S: Environmental Programs Office**

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 09 59275r1R4	<b><i>Air Operating Permit Records</i></b> This series provides a record of permits issued by the Puget Sound Air Pollution Control Agency that allow the UW to dispense air pollutants. May include reports, correspondence, etc.	Retain for 6 Years after New Permit Issued	OPR
00 MM 59594r1R4	<b><i>Chemical Inventory</i></b> This series provides a record of the locations of toxic chemicals as required by WAC 296-802-20010. May include records from the retired Lab Safety System, which MyChem replaced.	Retain for 70 Years after End of Year	OPR
11 08 62661	<b><i>Chemical Security Assessment</i></b> This series includes records for the Homeland Security Act requirement for a Top Screen Report and Site Vulnerability Assessment. May include training, drills and exercises, incidents, breaches of security, maintenance, calibration and equipment testing records, etc. Required as per 6 CFR 27.255.	Retain for 6 Years after End of Calendar Year	OPR
89 11 45196r3R4	<b><i>Chemical Waste Collection Request Forms</i></b> Forms used by University labs and departments to request routine pick-up and disposal of hazardous waste. Includes information on waste composition, quantity and number, types of containers, date collected, and department collected from. May also include the Request New Chemical Waste Routine Form, One-Time Request Forms, and Waste Evaluation Request. (See Hazardous Waste Disposal Records that document actual disposal of waste.)	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 11 45198r2R4	<b><i>Contaminated Site Files</i></b> Provides a record of the clean-up of contaminated sites which the University owned or owns. May include correspondence, reports, surveys, contract records, etc.	Retain for 10 Years after Completion of Clean-up or Sale of Land	Archival OPR
93 03 52031r2R4	<b><i>Contingency Plans</i></b> This series provides a record of the contingency plans for the management of hazardous waste for Large Quantity Generator sites as required by the Department of Ecology.	Retain for 6 Years after Superseded	Archival OPR
93 03 52146r2R4	<b><i>Dangerous Waste Annual Reports</i></b> This series contains Dangerous Waste Annual Reports as reported to the Washington State Department of Ecology. Also used for long term studies.	Retain for 6 Years after Final Report Completed/Submitted	OPR
93 03 52148r2R4	<b><i>Dangerous Waste Regulatory Inspections</i></b> This series includes facility inspections and reports from Department of Ecology visits regarding dangerous waste rules.	Retain for 10 Years after Date of Inspection Report	Archival OPR
11 08 62664	<b><i>Department of Transportation Files</i></b> This series provides a record of documentation relating to the transportation of hazardous materials. May include shipping advice questions and regulatory inspections reports.	Retain for 6 Years after End of Calendar Year	OPR
93 03 52135r2.R4	<b><i>Generator Site Files</i></b> This series provides a record of Notification of Dangerous Waste Activities to the Washington State Department of Ecology for every UW site that generates hazardous waste.	Retain for 6 Years after Superseded or Generator no longer produces waste	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52136r2R4	<b><i>Hazardous Waste Determinations</i></b> This series provides documentation of the determining to consider whether waste is hazardous. Includes "Chemical Master List" and one-time wastes, such as those from remediation projects.	Retain for 6 Years after End of Waste Production	Archival OPR
89 11 45208r3R4	<b><i>Hazardous Waste Disposal Records</i></b> This series includes facility signed manifests, land disposal restrictions, and certificates of disposal for hazardous waste.	Retain for 30 Years after End of Calendar Year	Archival OPR
93 03 52143r2R4	<b><i>Hazardous Waste Training</i></b> Record of training provided to technologists and staff regarding procedures when dealing with hazardous waste. Training includes regulations and policies for handling, storing and entering/cleaning areas with hazardous waste spills. Retention required as per WAC 173-303-330.	Retain for 3 Years after Termination of Employment	OPR
11 12 62908	<b><i>Industrial Waste Discharge Files</i></b> This series provides a record of authority received from the appropriate state or local agency approving discharges into Public Owned Treatment Work systems. May include monitoring data, monthly reports, and permit correspondence.	Retain for 6 Years after Permit Renewed	OPR
93 03 52138r2R4	<b><i>Internal Spills Documentation</i></b> Documents the spills of hazardous waste at central accumulation facilities for large quantity generators. Includes details of incident, response, correspondence, type of waste spilled, persons affected, final results/reports, etc. Information is contained within a database, and also includes information entered from the Spill Advice Forms.	Retain for 6 Years after End of Calendar Year	OPR
11 12 62907	<b><i>National Pollutant Discharge Elimination System Permits</i></b> This series provides a record of the National Pollutant Discharge Elimination System (NPDES) permit for discharge into navigable waters. Includes operational reports, correspondence, etc.	Retain for 6 Years after Permit Renewed	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52032r2R4	<b><i>Non-State Waste Contracts</i></b> This series provides a record of final contracts with companies that manage and dispose of UW hazardous waste. Includes contracts, site visit reports, correspondence, profiles of the characteristics of wastes that the contractor will dispose of and approved disposal methods for various wastes.	Retain for 6 Years after Termination of Contract	Archival OPR
11 08 62658	<b><i>Participating Responsible Party for Waste Disposal Sites</i></b> This series provides a record of sites where the University either paid for clean up, retrieved its hazardous materials, or pays ongoing diminimus use remediation costs.	Retain for 30 Years after Completion of Clean-Up or Removal	Archival OPR
99 09 59273r2R4	<b><i>PCB Program Files</i></b> This series includes records of the UW PCB program. May include inspection reports, annual reports, etc. for PCB-contaminated oil filled transformers and other PCB containing materials.	Retain for 30 Years after Transformer Removed or Cleanup Achieved	Archival OPR
11 08 62662	<b><i>Pollution Prevention Reports</i></b> This series provides a record of annual reports detailing the amounts of hazardous wastes reused, recycled, and treated at the UW.	Retain for 6 Years after Final Report Completed/Submitted	Archival OPR
93 03 52144r2R4	<b><i>Vehicle Inspections</i></b> Provides a record of daily inspections of UW vehicles used to transport hazardous waste. Includes inspection reports, problems found, corrective action to be taken and any maintenance work completed. Retention as per 49 CFR 396.11. See also Department of Transportation Files.	Retain for 3 Months after Date of Inspection	OPR

**/34/05/04/**

## **EH&S: Occupational Health and Safety**

### *Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 03 46028r2.R3	<b><i>Accident/Incident Reports</i></b> Provides documentation of any accidents or incidents incurred by UW employees, visitors and staff. Includes any attachments if needed for documentation, some medical information and statistical summaries are included as part of this series.	Retain for 10 Years after End of Calendar Year	OPR
90 01 45414	<b><i>Asbestos Control Policy and Procedure Manual</i></b> Documents UW policies regarding the handling of asbestos. Includes policies, training information, regulations, etc.	Retain for 30 Years after Superseded	Archival OPR
10 07 62274	<b><i>Capital Project Engineering Asbestos Surveys</i></b> This series provides a record of surveys conducted on University buildings for asbestos issues. Contains certified documents.	Retain for 30 Years after Superseded by Next Survey	Archival OPR
99 06 59162r1R4	<b><i>Chemical Hygiene Plan</i></b> Provides documentation of safety measures implemented at UW facilities to ensure protection of employees from chemical exposure in laboratories.	Retain for 10 Years after End of Calendar Year	Archival OPR
89 11 45202	<b><i>Food Complaint Log</i></b> Summarizes food complaints for Housing and Food Services and UW food establishments that are received by the Biosafety and Sanitation section of Occupational Health and Safety. Complaints range from food sickness to hygiene problems.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45406r3R4	<b><i>General/Industrial Hygiene Sampling</i></b> Documents the sampling and evaluation for the presence of chemicals or physical agents, such as mercury and carbon fibers, to ensure that employee exposure to toxic substances is within mandated limits. May include correspondence, laboratory analysis request, requests for sampling, Accident/Incident Report Investigations, corrective action taken, etc.	Retain for 70 Years after End of Calendar Year	OPR
99 06 59166r1R4	<b><i>Occupational Health Nursing Surveys</i></b> Surveys of UW employees interviewed by Occupational Health Nurse regarding OHS problems on campus. Surveys are compiled into final report and used to identify risk areas and projects. May contain some exposure information.	Retain for 10 Years after Final Report Completed/Submitted	OPR
99 MM 59170r1R4	<b><i>OHS Activity Log</i></b> Database tracks and monitors issues sent to OHS. Includes information on contact info, possible monitoring schedule and results, and possible corrective action taken and resolution. Entry is from OHS Office Activity Form and output includes statistical reports. Database is used to identify patterns for future projects and planning.	Retain for 10 Years after Corrective Action Taken	OPR
90 01 45407r3.R4	<b><i>OHS Air Quality Sampling Files</i></b> Provides a record of air sampling and evaluation for the presence of air contaminants to identify if employee(s) has been exposed to toxic substances. Sampling documents the issues and concerns regarding air contaminants which include, but are not limited to: asbestos, formaldehyde, lead, nitrous oxide, silica, ethylene oxide, methylene chlorine and others having an established PEL. Files may include reports, correspondence, lab analysis report, request for sampling and corrective action taken or suggested.	Retain for 70 Years after End of Calendar Year	Archival OPR
99 06 59167	<b><i>OHS Building Files</i></b> Files track OHS industrial actions occurring within University buildings. May include a duplicate copy of any or all of the following: sample results, monitoring results, correspondence, historical data, etc. Originals are in either General/Industrial Hygiene Sampling or OHS Air Quality Sampling Files.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 06 59169r1R4	<b><i>OHS Office Activity Form</i></b> Form used to enter information into the OHS Log Database. After 1997 all information is entered into database, therefore the electronic copy will be considered the primary copy. Form includes contact info, nature of issue, who assigned to and possible corrective action taken.	Retain for 1 Year after Data Entry	OFM
94 04 53270r1.R3	<b><i>OHS Program Files</i></b> Provides an administrative record of the written safety programs of the OHS office (I.e. respiratory protection, CFC's, ergonomics, air quality, blood borne pathogens, etc.). May include Respirator Request form, correspondence, training materials, written program, work plans, reports, WISHA compliance plans, etc. for individual programs.	Retain for 6 Years after Superseded	Potentially Archival OPR
90 07 46427	<b><i>Pest Control Files</i></b> Provides report of pest control work done for the University by outside contractors. May include pest control worksheets, spray/bait manuals, housing logs, technician reports, ornamental shrub control reports, records of chemicals used, etc.	Retain for 10 Years after Last Report or Inspection	OPR
90 01 45411r1.R3	<b><i>Restricted Areas Database</i></b> Provides a database of areas on UW campuses (Bothell, Tacoma, Medical Center, etc.) that are sealed off due to contamination by asbestos and/or other hazardous substances.	Retain for 1 Year after Restriction Removed	OFM
11 02 62423	<b><i>UW Pesticide and Fertilizer Application Report</i></b> This series provides a record of the application of pesticide or fertilizer on the UW campus. Includes total amount applied, location of application, who applied the pesticide, etc. Required as per RCW 17.21.100.	Retain for 7 Years after End of Calendar Year	OPR
90 01 45399r2.R3	<b><i>Washington Industrial Safety and Health Administration (WISHA) Compliance Plan and Program</i></b> Provides a record of UW's compliance with WISHA standards and regulations. May include compliance plans, safety survey reports, correspondence, employee training, annual statistical summaries, etc.	Retain for 5 Years after Superseded	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 11 45204	<b><i>Water Reports and Surveys</i></b> Provides a record of various water quality sampling and testing results. May include swimming pool lab reports, water quality surveys, cross connection control surveys, test results, regulations and education guidelines.	Retain for 6 Years after Last Inspection	OPR

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**/34/05/05/      EH&S: Research and Occupational Safety**

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68319	<b><i>AUMS Form (Animal Use Medical Screening)</i></b> A medical screening program used to identify possible health risks for employees working with or around animals in accordance with WAC 296-802, Employee Medical and Exposure Records.	Retain for 30 Years after Termination of Employment	OPR
12 09 68320	<b><i>Bloodborne Pathogens</i></b> A site specific exposure bloodborne pathogens control plan (WAC 296-823-120) identifying risks of blood borne pathogens. Includes job titles, names with potential for exposures, hazards and exposure controls in the lab.	Retain for 30 Years after End of Calendar Year	OPR
12 09 68321	<b><i>Clinical Trial Files (Human Gene Transfer)</i></b> File which provides close oversight of clinical trials with recombinant DNA. Can include: BUA application, approval letter from IBC, IRB Protocol plus protocol changes, Investigator's brochure, NIH required 'Appendix M' Human Gene Transfer, NIH RAC review/recommendations, patient consent forms (blank), Adverse Event Reports/Safety Reports, CVs of PIs, Annual Reports, Correspondence w/NIH, OBA, and PIs, Certificate of Environmental Compliance (DOD grants only), etc.	Retain for 30 Years after Termination of Study	OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68322	<b><i>Diving Incident Reports</i></b> Report on diving accident in compliance with America Academy of Underwater Science (AAUS). Includes summary of diver experience, location of dive, description of symptoms, description and results of treatment, disposition of case, recommendations to avoid repetition of incident, etc.	Retain for 5 Years after Date of Report	OPR
94 04 53716r3R0	<b><i>Diving Information Files</i></b> Provides information on divers, active and inactive, diving under the auspices of the UW. Includes registration, consent, written diving exams, first aid certification, diving certifications (recreational and scientific diver certifications), equipment testing, diver database, diving reports, diving variances, diving work plans and reviews, diving medical history, medical evaluation of fitness for scuba diving report, diving medical exam overview for the examining physician, etc as required by the American Academy of Underwater Science (AAUS).	Retain for 5 Years after Annual Diving Plan Submitted	OPR
12 09 68324	<b><i>Occupational Health Recommendations (OHRs)</i></b> Occupational health recommendation letters consist of safety measures for the use of hazardous chemicals, drugs or agents. The OHR letters are created in response to the animal protocols and changes that occur within the study.	Retain for 3 Years after Creation of Exposure Record	OFM
89 11 45191r3R0	<b><i>Principal Investigator (PI) Files</i></b> IBC approval for each PI to work with biohazardous materials. File can include: Biological Use Authorization (BUA) Letter with specific agents , biosafety levels, and room locations listed, Peer Review Checklist of BUA Letter, BUA application , Abstract, Lab Inspection Sheets/Checklists, Lab Schematics, Bloodborne Pathogen Exposure Control Plan, Additional SOPs provided by lab as appropriate: research information, MSDS sheets, biological agent used, etc.	Retain for 30 Years after Creation of Exposure Record	OPR

**/34/06/**

Administrative

**Health Sciences Administration: Health Sciences AS&F: Director's Office**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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07 08 61606

***Request for AutoPen Signature***

This series provides a record of individuals requesting the use of the AutoPen. Includes authorization form or email request and a copy of what is being signed.

Retain for 6 Years after  
End of Month OPR

**/34/06/01/**

**Health Sciences Administration: Health Sciences AS&F: UW Creative**

*Campus visual studio to create effective communication solutions*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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09 06 62053

***Body Mapping Photographs***

This series provides a record of photographs of Dermatology Clinic patients.

Retain for 6 Months  
after End of Month OFM

**/34/06/04/**

**Health Sciences Administration: Health Sciences AS&F: Building Management**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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06 11 61382

***Access Card/Photo ID Application***

This series provides a record of Access Card or Photo ID requests.

Retain for 1 Year after  
End of Calendar Year OFM

06 11 61387

***Day Storage or Space Allocation Records***

This series provides a record of individuals/departments using day storage or allocated space managed by Health Sciences Academic Services & Facilities: Building Management. May include what is in the space, space assigned, contact information, etc. There is no fee to use this storage space or allocated space.

Retain for 1 Year after  
Storage space no  
longer required OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61386	<b><i>Security Logs</i></b> This series provides a record of security inspections throughout Health Sciences. Includes reports of incidents, open doors, and windows, etc. From this log, summary reports are created which end up in the monthly report.	Retain for 6 Years after End of Calendar Year	OPR

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**/34/06/05/ Health Sciences Administration: Health Sciences AS&F: Classroom Services**

*Classroom Support Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61381	<b><i>Enunciator Records</i></b> This series provides a record of announcements submitted for posting on the televisions in the Health Sciences building.	Retain for 9 Months after End of Quarter	OFM
06 11 61376	<b><i>Equipment Scheduling Database</i></b> This series provides a record of equipment on loan, when it was checked out, the location it is being used in, etc. It does not include financial information.	Retain for 2 Years after End of Quarter	OFM
06 11 61380	<b><i>Key and Access Card Return Form</i></b> This series provides a record of students who have returned their key and access cards and received their deposit.	Retain for 6 Years after Deposit Returned	OPR
06 11 61390	<b><i>Room Change Requests</i></b> This series provides a record of non-course pending requests, continuous scheduling, room change requests, etc.	Retain for 1 Year after End of Quarter	OFM
06 11 61377	<b><i>Room Inspection Records</i></b> This series provides a record of daily room inspections throughout Health Sciences. Includes notes on the condition of the room, etc.	Retain for 1 Year after End of Quarter	OFM

## Assessment

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62077	<b><i>MS II Objective Structured Clinical Exam (OSCE) Evaluator/Student Sign Up Sheet</i></b> This series provides a record of evaluators and students who sign up for the clinical testing.	Retain for 1 Year after End of Academic Year	OFM
09 07 62075	<b><i>Objective Structured Clinical Exam (OSCE) Staff/Standardized Patient (SP) Schedule</i></b> This series provides a record of staff and standardized patients who will be participating in the testing process.	Retain for 2 Years after End of Academic Year	OFM
09 07 62076	<b><i>Objective Structured Clinical Exam (OSCE) Timer Check Sheet</i></b> This series provides a record of the clinical testing schedule.	Retain for 1 Year after End of Academic Year	OFM
09 07 62074	<b><i>Patient Scripts</i></b> This series provides a record of scripts used by the standardized patients during testing, clinical examinations, etc.	Retain for 6 Years after End of Academic Year	Archival OPR
09 07 62072	<b><i>Standardized Patient Applications - Approved</i></b> This series provides a record of individuals who are determined acceptable applicants to the Standardized Patient Program. Includes contact information, personnel history, etc.	Retain for 2 Years after Application Approved	OFM
09 07 62073	<b><i>Standardized Patient Applications -Denied</i></b> This series provides a record of individuals who applied to the Standardized Patient Program and were determined ineligible.	Retain until Determined Ineligible	OFM

**/34/06/07/**

## Health Sciences Administration: Health Sciences AS&F: Laboratory Services

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62079	<b>"Media Room" Sign In Sheet</b> This series provides a record from labs requesting cleaning and sterilization of their equipment. Includes budget number and person requesting the service. The information is entered into the TMA database.	Retain for 2 Years after End of Calendar Year	OFM
09 07 62078	<b>Sterilization Records</b> This series provides a record of equipment operation and the proper disposal of waste. Includes the Chemical Integrator Daily Test Results form.	Retain for 6 Years after End of Calendar Year	OPR

**/34/09/**

## Health Sciences Administration: Campus Health Services

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61950r1R1	<b>Student Health Record</b> Provides a record of the immunization history of individual students. Includes dates of immunizations and any reporting to schools. May include referral records.	Retain for 6 Years after Graduation or Last Contact	OPR

**35**

## UW of Bothell

*UW Bothell Campus*

**/35/01/01/**

**Bothell: Student Affairs: Registrar**

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 52999	<b><i>Application for ID Replacement</i></b> Provides a record of student requests for a replacement identification card. Includes applications for replacement of photo and non-photo identification cards.	Retain for 1 Year after End of Quarter	OFM
86 6 36934	<b><i>Incomplete Grade Conversion Form</i></b> Provides authorization to change an incomplete grade.	Retain for 5 Years after End of Quarter	OFM

**/35/02/02/**

**Bothell: Writing Center**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61242	<b><i>Writing Center Usage Database</i></b> Tracks student usage of the Writing Center. May include student name, phone number, major, class standing, course information, any specific writing needs, as well as any notes made by the tutor. There is no fee to use the Writing Center.	Retain for 5 Years after End of Academic Year	OFM

**/35/02/07/**

**Bothell: Center for University Studies and Programs (CUSP)**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61375	<b><i>New Student Orientation Spreadsheet</i></b> Spreadsheet tracks incoming freshmen student participation in mandatory new student orientation sessions. There is no fee for orientation. Students RSVP through email or verbally. Spreadsheet also contains basic student biographical information.	Retain for 4 Years after End of Quarter	OFM

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**/35/03/04/ Bothell: Administrative Services: Facility Services**

*Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61239	<b><i>Certificates of Insurance</i></b> Record of insurance coverage held by contractors or vendors that are doing work on the Bothell campus.	Retain for 6 Years after End of Calendar Year	OPR
06 07 61238	<b><i>Wetlands Access Request Form</i></b> Requests for access to the campus wetlands. Includes explanation of need to access and how they intend to minimize the impact of their presence on the wetlands.	Retain for 2 Years after End of Calendar Year	OFM
06 07 61237	<b><i>Wetlands Tour Participation Log</i></b> Log of individuals that participate in tours of the wetland area of campus.	Retain for 2 Years after End of Calendar Year	OFM

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**/35/04/04/ Bothell: Nursing**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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06 10 61333

***Articulation Agreements***

Designed to provide a seamless program of study between 2 year community or technical colleges and UW Bothell to make it possible for students to complete a Bachelor of Science Degree in Nursing as efficiently as possible. Documents the curriculum that students are encouraged to follow while obtaining the 2 year degree to make sure all prerequisites for the UW Bothell program have been completed. Exists to facilitate communication between institutions in curriculum development. Not binding to student or other parties.

Retain for 1 Year after  
When Superseded

OFM

**/35/07/02/**

**Bothell: Student Life: Student Programs**

*Student Programs*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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09 05 62016

***Alternative Spring Break Files***

This series provides a record of the Alternative Spring Break programs offered at Bothell. May include publicity material, correspondence with the sites, student waivers, payment documentation, etc.

Retain for 6 Years after  
End of Academic Year

Archival

OPR

**36**

**UW of Tacoma**

*UW Tacoma Campus*

**/36/01/01/**

**Tacoma: Finance & Administration: Campus Safety & Security**

*Law Enforcement*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 08 61597	<b><i>Sex Offender Files</i></b> Provides a record of registered sex offenders who have become a part of the UW Tacoma campus population. The printed bulletins are used as part of the identification verification process.	Retain for 6 Years after No Longer Affiliated with Campus	OPR

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**/36/03/ Tacoma: Education**

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61978	<b><i>School Insurance Coverage Documentation</i></b> This series provides a record of proof of insurance for schools in which teacher interns from UW Tacoma are placed.	Retain for 6 Years after Beginning of Academic Year	OPR

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**/36/14/02/ Tacoma: Associate Director for Student Planning and Administration**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61949	<b><i>Co-Curricular Activity Database</i></b> This series provides a record of student involvement in co-curricular activities while a student at UW Tacoma. May include dates of participation and names of organizations.	Retain for 3 Years after End of Fiscal Year	OFM
08 12 61948	<b><i>Co-Curricular Activity Verification Form</i></b> This series provides a record of student co-curricular service verification for a student requesting a co-curricular transcript.	Retain for 1 Year after End of Fiscal Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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08 12 61947

***Co-Curricular Transcript Request Form***

This series provides a record of students requesting a Co-Curricular transcript. There is currently no fee associated with this service.

Retain for 1 Year after  
End of Fiscal Year

OFM

**/36/16/01/**

**Tacoma: Student Involvement: Student Organizations**

*Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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04 02 60640r1R1

***Student Organization Files***

These files track the activities and funding of the student organizations at the Tacoma branch of the University of Washington. May include membership rosters, event planning and publicity materials, purchase orders, revolving fund petty cash records, and travel vouchers, etc.

Retain for 6 Years after  
End of Academic Year

Archival

OPR

**/36/20/01/**

**Tacoma: Advancement: Conference Services**

*Conference Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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10 12 62331

***Customer Inquiry Data Sheets***

Provides record of potential customers interested in hosting a conference at UW Tacoma and people who cancelled.

Retain for 2 Years after  
End of Calendar Year

OFM

**37**

**College of Ocean and Fishery Sciences**

*Academic Offices*

## **/37/01/ Ocean and Fish: Dean**

### *Academic Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51741	<b><i>Agreements of Understanding</i></b> Contracts and related documentation concerning research agreements with other institutions. Through these agreements, College research projects are provided access to the facilities of other research institutions.	Retain for 6 Years after Termination of Contract	OPR

## **/37/02/02/ Ocean and Fish: Oceanography: Marine Operations**

### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 11 61027	<b><i>Charter Agreements</i></b> Records relating to the agreements between the Office of Naval Research, National Science Foundation, and the University of Washington for use of the R/V Clifford A. Barnes and R/V Thomas G. Thompson.	Retain for 5 Years after End of Charter	Potentially Archival OFM
05 11 61028	<b><i>Equipment Maintenance and Modification Records</i></b> Provides documentation of any repair or modification work performed on the R/V Clifford A. Barnes and R/V Thomas G. Thompson. May include correspondence, plans, or drawings.	Retain for 5 Years after End of Charter	OFM
90 02 45786r1R3	<b><i>International Safety Management Committee File</i></b> Provides record of International Safety Management (ISM) committee activities and includes meeting minutes, agendas, safety plans, audit reports, etc. ISM is an U.S. Coast Guard and International Maritime Organization treaty/law mandated program.	Retain for 5 Years after End of Charter	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 02 45783R1R3	<b><i>Official Deck and Engine Logs</i></b> Provides unedited documentation of all ship transactions - navigational, meteorological and engineering information, accident/incident reports, arrivals and departures.	Retain for 5 Years after End of Charter	Potentially Archival OFM
90 02 45792r1R3	<b><i>Post-Cruise Assessment Form (Electronic Record)</i></b> Provides feedback of cruise from participants in each mission. The original forms are sent to the University-National Oceanographic Laboratory System (UNOLS), and Marine Operations receives a copy.	Retain for 2 Years after Completion of Voyage	OFM
90 02 45789r1R3	<b><i>Sailing Orders</i></b> Provides report of the cruise plan - why the cruise is being undertaken, scientific work to be conducted, cruise trace, clearance process, instructions to Master, etc. Includes the Small Vessel Operating Plan for the research vessel Clifford A. Barnes.	Retain for 5 Years after End of Charter	Archival OFM
90 02 45793r1R3	<b><i>Ship Construction Files and Blueprints</i></b> Provides record of ship construction, proposal for operating ship, construction contract, construction events, and design reviews. May also include correspondence, plans, drawings, photographs, etc.	Retain for 5 Years after End of Charter	Potentially Archival OFM
05 11 61057	<b><i>Ship Personnel Folders</i></b> Provides a record of maritime-specific documentation for ship personnel. Includes copies of passports, licenses, Merchant Marine documents, discharge/service slips, drug screening certifications, and training records.	Retain for 6 Years after Termination of Employment	OPR

**/37/06/**  
*Research*

**Ocean and Fish: School of Aquatic and Fishery Sciences, Director**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 09 60955	<b><i>Collection Permit File</i></b> This file contains the request and approval for the Collection Permit granted by the Washington Department of Fish and Wildlife. The permit is renewed annually and allows permittees to collect and count, etc., living organisms. May also include correspondence.	Retain for 1 Year after Permit Received	OFM

## 38 School of Public Health

### *Academic Offices*

### **/38/01/02/ PH: Dean's Office: Northwest Public Health Journal**

#### *Journal Publication*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 01 61399	<b><i>Rejected Articles</i></b> This series provides a record of articles which the Northwest Public Health Journal asked an author to write but are later rejected as not appropriate for the journal. May include the initial submission, working drafts, correspondence, etc.	Retain for 1 Year after Determined not Appropriate for Journal	OFM
07 01 61400	<b><i>Unsolicited Proposals or Articles</i></b> This series provides a record of unsolicited proposals or articles received by the Northwest Public Health Journal.	Retain for 1 Year after Determined not Appropriate for Journal	OFM

### **/38/03/03/ PH: Environmental Health Lab**

#### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 8 44671r1.R2	<b>Laboratory Exam Test Reports</b> Documents employee exposure related to health hazard evaluations in the workplace. Includes Summarization of Laboratory Exam Test Results, etc.	Retain for 1 Year after End of Calendar Year	OFM
89 8 44670	<b>Laboratory Exam Test Results</b> Provides a record of preventative or responsive health hazard evaluations in the workplace. May include: raw data, quality control, standards, and calibration information for environmental and biological samples related to compensation, claims, and investigation of industrial hygiene and health problems in Washington covered industries. Maintained as per 29 CFR1910.1020	Retain for 30 Years after End of Calendar Year	OPR

**/38/03/06/**

**PH: Field Research and Consultation Group**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44838	<b>Client Folders/Surveys - Final Report</b> Provides a record of the final evaluations of the Field Research lab tests of reported health hazards in the workplace. Summarization of Laboratory Exam Test Results. Paper copy is kept in Records Series 01, Client Folders/Surveys - Results.	Retain for 30 Years after End of Calendar Year	OFM
89 9 44837	<b>Client Folders/Surveys - Results</b> Provides a record of laboratory tests and results of reported health hazards in the workplace. May include: raw data, quality control, standards, calibration information for environmental and biological samples, final report, etc., related to compensation, claims, and investigation of industrial hygiene and health problems in Washington covered industries.	Retain for 30 Years after End of Calendar Year	OFM

## **/38/03/12/ PH: Continuing Education**

### *Continuing Education*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 09 61626	<b><i>Inactive Certificate Folders</i></b> This series provides a record of individuals who are pursuing OSHA certification but fail to complete the coursework within the three year required period. File may include course check list, application, etc.	Retain for 3 Years after Date of Application	OFM

## **/38/04/04/ PH: Health Services: Extended MPH Degree Program**

### *Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 MM 60062	<b><i>Student/Alumni Database</i></b> Provides a record of student academic, financial and alumni status within the program.	Retain for 6 Years after Administrative Purpose Served	OPR
93 8 52803	<b><i>Western Interstate Commission for Higher Education (WICHE)</i></b> Documents the relationship between the department and the Western Interstate Commission for Higher Education (WICHE). WICHE was established by western states to promote and facilitate resource sharing, collaboration, and cooperative planning among those states and their colleges and universities. WICHE enables students to enroll in out-of-state professional programs when those fields of study are not available in their home state. Exchange students receive preference in admission and pay reduced levels of tuition. Includes support agreements, brochures, correspondence, memoranda, etc.	Retain for 6 Years after End of Calendar Year	Potentially Archival OPR

**/40/03/****Center for Commercialization: UW TechTransfer***Facilitates the commercialization of new innovations arising from University of Washington research by managing intellectual property.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 02 60643r1R3	<b>Material Transfer Agreements</b> Agreements between the University and non-University entities for limited rights to products developed by the University and patented by this office. Also includes Small Agreements and Confidentiality Agreements.	Retain for 6 Years after Actual Termination Date of Agreement	OPR
96 07 56910r2R4	<b>Project/Disclosure Files</b> This series provides a record of all the activities associated with an innovation, such as related agreements, technology development, marketing, legal activity and appointments, patent documentation, financial management documents, rights management documents, trademark/copyright documentation, participation agreements, and Memorandums of Understanding. At the end of the retention period, the record of innovation and issued patents will be transferred to the University of Washington Archives.	Retain for 6 Years after Closure Date	Archival OPR

**/40/04/****Center for Commercialization: UW TechTransfer Finance***Finance*



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 01 51767	<b><i>ASCAP, BMI, SESAC Files</i></b> Provides a record of contractual agreements between the University and ASCAP, BMI, or SESAC. ASCAP, BMI, and SESAC are performing rights societies who act as intermediaries for the non-exclusive rights to a musical composition.	Retain for 6 Years after Termination of Contract	OPR
08 09 61855	<b><i>Income/Receipts - Records for Fiscal Year 2005 and After</i></b> This series provides a record of payments received from licensees which are attributable to a University Technology or inventor. Includes check copies, wire copies, and correspondence.	Retain for 6 Years after End of Fiscal Year	OPR
08 09 61854	<b><i>Income/Receipts - Records Prior to Fiscal Year 2005</i></b> This series provides a record of payments received from licensees which are attributable to a University Technology or inventor. Includes check copies, wire copies, and correspondence.	Retain for 6 Years after Transaction Verified or Technology Closed	OPR
08 09 61853	<b><i>Legal Files - Invention</i></b> Provides a record of attorney billing activity for each patent or license pursued. Includes correspondence, legal bills, etc.	Retain for 6 Years after Closure Date of Technology	OPR
93 01 51769r2R0	<b><i>Royalty Payment Files</i></b> Provides a record of the distribution of royalty payments made to inventor(s) and/or the University. Includes correspondence regarding revenue allocation and instructions, and memorandums of understanding.	Retain for 6 Years after Closure Date of Technology	OPR
93 01 51770r1R0	<b><i>Statistical Reports</i></b> Provides a record of summary reports compiled to track business activity at OTT. Series include reports on office activity.	Retain for 10 Years after End of Fiscal Year	Potentially Archival OPR

## 41 Vice Provost for Planning and Budgeting

*Budget Office, Capital and Space Planning Office and Institutional Studies*

**/41/02/**

## **Budget Office**

*Plans and allocates financial and physical resources, and provides analysis and information services to enhance university decision-making, planning and policy formation.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42291	<b><i>Allotments</i></b> Documents distribution of initial biennial fund allocated to the UW by the State Legislature, amendments to the initial allocation, and local fund allocation which are reported to the state. May include: Office of Financial Management Memoranda; Office of Financial Management Directives; etc.	Retain for 10 Years after Biennium Close	Potentially Archival OFM
97 08 57922	<b><i>Budget Number Requests</i></b> Documents the establishment of new budget numbers for state and self-sustaining budgets. Includes original request.	Retain for 6 Years after End of Biennium	OPR
88 5 42297	<b><i>Budget Report Files JUNE REPORT (BU11080)</i></b> Computer-tape workfile of State Budget System. May include Biennium Budget Revision Number Range, Budget Type/Class, Month of Biennium. Selectively downloaded to personal computers in the Budget Office and stored on hard disks.	Retain for 3 Years after End of Fiscal Year	OFM
88 5 42289r1R5	<b><i>Budget Requests (Working Papers)</i></b> Documents process of establishing UW Operating Budget Requests for GOF, DOF and self-sustaining budgets submitted to the Office of Financial Management. May include: College/School/Division request submittal package; Board of Regents and University Budget Committee briefing documents; State Operating Budget Instructions, etc.	Retain for 4 Years after Biennium Close	Potentially Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42293 r2R6	<b><i>Budget Revisions</i></b> Documents on-line updates in State Budget System which change budgeted level or data elements for salaries and wages, operations, or revenue within individual budgets. May include: Budget Office staff notes and worksheets, correspondence, detail and summary reports generated from the database.	Retain for 4 Years after Biennium Close	OFM
00 12 59978	<b><i>Budget Set Up Requests</i></b> Provides a record of requests by department/office to set up GOF/DOF and Self-Sustaining budget numbers. Documents reason to establish account. Includes Budget Set Up Printout which is used to verify establishment of a budget number.	Retain for 6 Years after End of Fiscal Year	OPR
88 5 42322 r1R6	<b><i>Budget Status Summary Report, JUNE REPORT (AM28670-277-229, 237-239);(COM)</i></b> Provides cumulative monthly summary of financial activity from the beginning of the biennium to the current month by program category, state program, and budget type. The June report is the only one retained.	Retain for 6 Years after Biennium Close	OFM
88 5 42294r1R6	<b><i>Budget System History Report (BU110116-02)</i></b> A cumulative summary and index of budget revisions by budget number to end of biennium.	Retain for 4 Years after Biennium Close	OFM
00 07 59762	<b><i>Equipment Allocation</i></b> A special allocation distributed to units for the purchase of equipment. May include: working papers, departmental requests for funds, Equipment Inventory Office Report, etc.	Retain for 6 Years after End of Biennium	OFM
88 5 42290	<b><i>Operating Budget Request (Final)</i></b> A record of the biennial budget request for the UW which is submitted to the Office of Financial Management for legislative action. May include: General Justification Material (B1); Fund Summary (B2); Summary of Expenditure Levels (B5-1); Schedule of Expenditure Changes (B5-2); etc.	Retain for 10 Years after Biennium Close	Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42292	<b><i>Request for Amendment of Allotment (B20)</i></b> Documents requests for changes in distribution of initial funds.	Retain for 10 Years after Biennium Close	OFM
97 08 57923	<b><i>Revenue Transfers</i></b> Provides a record of funds which are moved from the operating budget to the capital fund. Also documents the movement of unencumbered funds back into the operating budget.	Retain for 10 Years after End of Biennium	OPR
00 08 59861	<b><i>Revision Request Summary Report</i></b> Summarizes the data reported in Salary Revision Worksheets.	Retain for 4 Years after End of Biennium	OFM
88 5 42315r1R6	<b><i>Salary Schedules and Tables</i></b> Provides salary information for each staff category and each wage adjustment allotted. May include: Classified Staff Compensation Plan, Monthly Staff Salary Schedule, Classification and Pay Index, UW Faculty Step Schedule for Assistant Professors and Above, etc.	Retain for 4 Years after Biennium Close	Potentially Archival OFM
88 5 42317	<b><i>Summary of Expenditure Allotment Status--JUNE REPORT (COM)</i></b> A monthly summary of allotment and expenditures of budgets. June report retained 10 years. Other monthly reports can be disposed of at end of month.	Retain for 10 Years after End of Fiscal Year	OFM
88 5 42318r1R6	<b><i>Trial Balance--General Ledger (AM28760-226A, 226B); (COM)</i></b> Provides a monthly summary and balance of financial revenue and expenditure by program code and budget number.	Retain for 4 Years after Biennium Close	OFM

## 44 College of the Environment

Academic Offices

**/44/02/12/**

**School of Environmental and Forest Sciences: UW Botanic Gardens: Elisabeth C. Miller Library**

*Library*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 06 61209	<b><i>Donor Records</i></b> Provides a record of individuals who have contributed in-kind gifts or cash donations to the Elisabeth C. Miller Library. Includes contact information, amount of donation, and copy of thank you letter. There is no original financial documentation included in this series.	Retain for 5 Years after End of Calendar Year	Archival OFM

**/44/10/01/**

**Washington Sea Grant: Administration**

*Research Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 04 61132	<b><i>Proposal Review Documentation</i></b> Provides a record of internal and peer reviews of proposals seeking funding from the Washington Sea Grant Program. Contains proposal reviews and related correspondence between the reviewer, the Washington Sea Grant Program, and Project Investigators.	Retain for 1 Year after Review Complete	OFM

**/44/10/02/**

**Washington Sea Grant: Communications**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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08 12 61977	<b><i>Journal/Manuscript Proofs</i></b> This series provides a record of the author or organization approved pre-publication version of a technical journal or manuscript.	Retain for 6 Years after End of Calendar Year	OPR
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## DS School of Dentistry

### DS01 Clinic Operations

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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91 12 49574	<b><i>Gold Slips and Logs</i></b> Provides record of gold inventory and amount of gold used in dental procedures. May include Gold Log, which includes student name, patient name, date and amount of gold used in procedure.	Retain for 6 Years after End of Fiscal Year	OPR
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91 3 47537	<b><i>Patient Charts</i></b> Provides complete documentation of examination, diagnosis and treatment for each patient receiving dental care including: periodontal, orthodontal, oral surgery, endodontic treatment, or procedures such as dental implants which require long term tracking. Charts may include: Chart Routing Record, X-Rays logs, Admitting Record, Dental Insurance Questionnaire, Problem and Treatment Lists and Plans, Progress Notes/Treatment Record (UW-D-3), Health History Questionnaire, Fees Statement,	Retain for 30 Years after Last Contact	OPR
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95 07 55759	<b><i>Patient Screening Records -- Not Accepted</i></b> Provides a record of questionnaires or preliminary screening examinations of patients not accepted for admittance to a clinic. May include Admitting Report, Health History Questionnaire, and Progress Notes. Screening records of accepted patients become part of Patient Chart.	Retain for 1 Year after Patient Not Accepted	OFM
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 10 58844	<b><i>Prescription Records</i></b> Provides record of each dispensed x-ray, prescription drug, set of dentures, etc. Includes Daily Script Journal. Maintained as per RCW 69.41.042.	Retain for 6 Years after End of Calendar Year	OPR

## GS General Schedule

*Records which are used throughout the University*

### GS02 Environmental Health and Safety/Facilities Services Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 06 68264	<b><i>Agency Reporting-Statute, Regulation, or Rule</i></b> A record of reporting to outside agencies on both the state and federal level as required by statute, regulation or rule. Includes USDA, L&I, OSHA etc.	Retain for 6 Years after End of Calendar Year	OPR
10 11 62305	<b><i>Building Use Permits.</i></b> A record of authorization from a Dean or department head for an individual to access a building or portion of a building. Required for students, temporary staff or temporary faculty using a building after normal working hours, as well as for some permanent faculty or permanent staff accessing sensitive research areas. A record of the names of employees authorized to sign Building Use Permits is retained by the UW Police and Building Coordinators.	Retain for 1 Year after Permit Expires	OFM
10 11 62265	<b><i>Chemical Hygiene Plan - Laboratory Specific.</i></b> Documentation of safety measures implemented in labs to ensure protection of employees against chemical exposure. The lab specific plan is part of the overall Lab Safety Manual.	Retain for 6 Years after Superseded	Archival OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 10 62334	<b><i>Chemical Treatment Log</i></b> This series documents the discharge of treated chemicals into the sewer system.	Retain for 3 Years after End of Calendar Year	OFM
10 04 62136	<b><i>Controlled Substances and Alcohol Misuse-Education and Training Records</i></b> This series provides a record of supervisors who conduct controlled substance and alcohol training sessions and Commercial Driver's License employees who attend the training. Includes driver's signed receipt of the education materials, policies and supervisor training. As per 49 CFR 382.401.	Retain for 6 Years after Cessation of Duties	OPR
10 04 62135	<b><i>Controlled Substances, Program Administration and Alcohol Test Records</i></b> This series provides a record of the administration of the controlled substances/alcohol testing program for Commercial Driver's License employees. It includes positive tests results for controlled substances/alcohol misuse and documents an employee's refusal to take the test. May include employer's copy of the controlled substance test chain of custody and control form, alcohol test form and results, previous employer background screen results if negative, etc. May also include agreements with testing facilities, testing policy and procedures, collection logbooks, documents relating to the random selection process, and decision to administer post-accident tests or reasonable suspicions, etc. Required as per 49 CFR 382.401	Retain for 6 Years after End of Calendar Year	OPR
10 04 62133	<b><i>Controlled Substances/Alcohol Test Results - Negative Results or Cancelled Tests</i></b> This series provides a record of negative or cancelled controlled substances test results and alcohol test results, with a concentration of less than 0.02, for employees with a Commercial Driver's License. See 49 CFR 382.401 for retention requirements.	Retain for 1 Year after End of Calendar Year	OPR
10 11 62267	<b><i>Departmental Health and Safety Manual.</i></b> Department specific plan regarding to health and safety concerns and the prevention of accidents. Also includes the emergency evacuation and operations plan. May include the Accident Prevention Plan, Hazardous Activity Workplan, Hazardous Assessment for Personal Protective Equipment or Job Safety Analysis.	Retain for 6 Years after Superseded or Updated	Potentially Archival OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47158	<b>Facility Management Services, Requests for (Work Orders).</b> A record of requests by departments for services of Maintenance and Alterations.	Retain for 2 Years after End of Biennium	OFM
10 11 62271	<b>Fire Permits</b> A record of permits issued by a Fire Department to a facility allowing the conduct of activities which may present a fire hazard.	Retain for 6 Years after Expiration of Permit	OFM
12 06 68273	<b>Inspection/Survey Records</b> Provides a record of internal and external inspections or surveys of environmental issues to provide a safe and healthful workplace at the UW. Includes inspections of labs and equipment, food handling, water quality, hazardous materials and waste management, and animal facilities to ensure compliance with health and safety policies. Also includes prevention and assessment inspections by the Environmental Health and Safety Assessment team and Washington Department of Ecology inspections. May include inspection reports, test results, worksheets, etc.	Retain for 6 Years after Last Inspection	Potentially Archival OPR
10 11 62281	<b>Job Safety Analysis.</b> Analysis of job for safety precautions and/or regulations. The analysis identifies the need for Personal Protection Equipment Assessment and Training. This document may be included as part of the Departmental Health and Safety Manual.	Retain until Superseded	OFM
9 09 62091	<b>Notice of Laboratory Equipment Decontamination (UoW Form 1083)</b> This form informs Facilities Services personnel that the equipment has been cleaned or decontaminated prior to service or removal for surplus.	Retain for 6 Years after Service Date or Surplus	OPR
10 04 62143	<b>Radioactive Waste Disposal Logs.</b> Internal logs used by labs to assist in the completion of the Form 160. These logs may include Form 150, 159, 170, 176 or others designed by labs and considered an equivalent. See Disposal of Radioactive Waste - Form 160 for retention of Form 160.00	Retain for 5 Years after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62293	<b><i>Site Specific Safety Affidavits.</i></b> Affidavits signed by teaching assistants or lab instructors verifying that they have been trained on the use of equipment and chemicals specific to the lab in which they are teaching or working.	Retain for 6 Years after Termination of Employment	OFM
10 08 62298	<b><i>Survey Records - Radiation Safety.</i></b> Survey completed by lab staff in regard to radioactive contamination levels in lab. Survey is completed after each use of radioactive material and on a monthly basis as required by Radiation Safety guidelines.	Retain for 5 Years after End of Calendar Year	OFM
10 09 62316	<b><i>Voluntary Respirator Use Form</i></b> This series provides a record of employees who voluntarily use disposable filtering face-piece respirators.	Retain for 6 Years after Termination of Voluntary Use	OPR

## GS03 Curriculum Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62236	<b><i>Accreditation Documentation</i></b> Statistical, descriptive and evaluative materials necessary for a program, college or school to maintain accreditation with the professional association which sets the standards for that particular discipline. Materials must have been created specifically for accreditation.	Retain for 6 Years after Accreditation or Until Superseded by New Accreditation	Potentially Archival OFM
10 11 62239r1R12	<b><i>Course Comment Sheets.</i></b> A record of the evaluative comments written by students regarding the content and presentation of a course. After comments are compiled by the Office of Educational Assessment, comment sheets are returned to departments.	Retain for 5 Years after Tenure Approved or Denied	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62670	<b><i>Course Materials.</i></b> Materials created and used as the basis for the content of a course. May include notes, rubrics, PowerPoint slides, podcasts and other recordings.	Retain for 3 Months after Retain until no longer needed for agency business plus one academic quarter	OFM
10 11 62248	<b><i>Program Review and Evaluation</i></b> Documents the internal and external evaluation and review of graduate and undergraduate departments, special programs/interdisciplinary centers/institutes within a specific school or college. May include comments from outside sources, students, faculty, administrators, other interested parties, and institutional comparisons. Includes 10 year departmental self-evaluation and review.	Retain for 6 Years after End of Calendar Year	Potentially Archival OFM
10 11 62253	<b><i>Textbook Desk Copy Request to Publishers.</i></b> Requests from faculty or staff to publishers for a free desk copy of a textbook being used in the classroom. May include correspondence.	Retain for 6 Years after End of Quarter	OFM
10 11 62251	<b><i>Textbook Orders (Faculty Information Sheet for Textbooks).</i></b> Requests for course textbooks.	Retain for 1 Year after End of Quarter	OFM
86 6 36961	<b><i>Time Schedule Changes (Requests for Change in the Quarterly Time Schedule).</i></b> Requests from academic departments to list a new course or to change the listing for a course in the forthcoming Time Schedule. Changes formerly submitted via form UW 20-506 now transmitted via email.	Retain for 1 Year after End of Quarter	OFM

## GS04 Materials That May Be Disposed of Without A Specific Retention Period

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68323	<b><i>Lists/Logs</i></b> Lists/logs containing information tracked by a department from which elements are superseded as new data/information is received, where not covered by a more specific records series	Retain until Reference Purpose Served	OFM

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## GS06 Financial Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 02 62375	<b><i>Budget Requests -- Final.</i></b> A record of the final biennial budget request from Deans, Vice Provosts or Vice Presidents.	Retain for 2 Years after End of Biennium	Potentially Archival OFM
11 02 62377	<b><i>Budget Signature Cards</i></b> A record of individuals authorized to make purchases on a specific budget.	Retain for 6 Years after Termination of Authorization	OPR
87 5 40048r1R3	<b><i>Collections Files.</i></b> A record of efforts to collect payment on outstanding invoices or on checks returned because of insufficient funds (NSF). May include collection letters, correspondence with collection agency, logs of collections actions, lists of uncollectable accounts, Aging Reports, etc.	Retain for 6 Years after Paid or Uncollectable	OPR
07 01 61398	<b><i>Parking Validation Log</i></b> This series provides a record of parking stickers issued to individuals visiting an UW office. The log may contain the parking number, individual it is assigned to, and date.	Retain for 6 Years after End of Calendar Year	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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12 06 68279	<b><i>Petitions and Waivers</i></b> Provides a record of petitions and waivers which grant exemptions from a fee or a fine.	Retain for 6 Years after End of Month	OPR
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95 11 56191	<b><i>Refund Records</i></b> A record of refund checks issued for overpayments, cancellation of registration, cancellation of services, etc. May include reason for refund, receipts, record of checks issued, denied refunds, logs of blank checks that will be used for refunds.	Retain for 6 Years after End of Month	OPR
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## GS07 Research and Grant/Contract Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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11 08 62693	<b><i>Consent Forms for Research -- Adults</i></b> A record of consent given by adult subjects who participate in a research program which falls under the category of Non-Biomedical Treatment or Intervention.	Retain for 6 Years after Close of Study	OFM
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88 3 41906	<b><i>Data Collection Form</i></b> Provides a record of data received on a paper form or log that is used for data entry into a database. May include financial data, research data, employee information, surveys, questionnaires, student information, etc.	Retain for 6 Months after Data Entry Verification	OFM
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09 09 62092	<b><i>Export Control Records for Grants/Contracts</i></b> This series provides a record of the documentation required to be retained on the exports of commodities, software, or technology from the United States. It also includes a record of any known re-exports, trans-shipment, or diversions of items exported from the United States as per Export Administration Regulation 762.6. Documentation includes export control documents, memoranda, invitations to bid, financial records, etc.	Retain for 5 Years after Termination of Funding Period	OPR
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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62657	<b><i>Visa Travel Records</i></b> This series documents the process of applying for and receiving Visas for foreign travel. Records may contain Visa application, travel itinerary, Customs Letters, immunizations letters, and other correspondence between the receiving country and the University of Washington as needed.	Retain for 6 Years after Return from Trip	OPR

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## GS08 Personnel and Payroll Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62717	<b><i>Academic Student Employees (ASE) Files</i></b> Comprehensive record of all personnel actions affecting a UW Academic Employee which includes information that had a reasonable bearing on the efficient and effective management of the UW. May include appointment letter, offer letter, job description, letters of reference, resume, non-academic training records, job posting, commendations, letters of resignation, termination letter.	Retain for 6 Years after Termination of Employment	OPR
11 08 62726	<b><i>Applications for Faculty/Academic Employment -- Not Hired.</i></b> Materials regarding applicants not hired for academic positions including faculty, Chair, Dean, Director and temporary positions (visiting scholars or scientists, clinical faculty, research associates, post-doctoral scholars, etc.). May include correspondence with rejected applicants, resumes, curricula vita, letters of reference, research proposals, evaluations of candidates, notes on employment selection, etc. Note: Not-hired application materials for Assistant Professor, Research Assistant Professor level or higher must be managed separately - if - the hired candidate is sponsored by the UW for a green card. (see UWGS08-67)	Retain for 3 Years after Completion of Hiring Process	OFR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62727	<b><i>Applications for Hourly and Student Employment -- Hired.</i></b> Materials regarding applicants hired for hourly and student positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.	Retain for 3 Years after Termination of Employment with Department	OFM
11 08 62728	<b><i>Applications for Hourly and Student Employment -- Not Hired.</i></b> Materials regarding applicants not hired for hourly and student positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.	Retain for 3 Years after Completion of Hiring Process	OFM
11 08 62739	<b><i>Faculty Reviews.</i></b> Evaluations of UW faculty performance. May be used in evaluations for merit pay. May include yearly activity report on professional activities prepared by a faculty member for review by a Chair or Dean, measures of student performance used to evaluate teaching effectiveness, student course evaluations of instructors, etc.	Retain for 3 Years after Completion of Review	OFM
11 08 62754	<b><i>Outside Work Approval</i></b> Requests to the Dean, Vice President or Provost from academic personnel to perform consulting work and other professional and public activities outside the UW for compensation. Formerly known as the Request for Approval of Outside Professional Work for Compensation.	Retain for 6 Years after End of Academic Year in Which the Services are Completed	OFM
95 MF 5559	<b><i>Payroll Folders - for Individual Employees</i></b> A record of the forms and documentation submitted to Payroll for an individual employee that has a reasonable bearing on the efficient and effective management of the UW and provides a basis for employment and post-employment benefits. May include Personnel Action Form (PAF), Stipend Appointment Form, Request for Extension of Appointment, Employment Eligibility Verification (I-9 form required by US Government to verify citizenship), Work and Leave Record for Classified and Professional Staff Employees, Request for Payment of Year-end Unused Sick Leave form, Request for Payment of Award or Prize to UW Student or Employee form etc.	Retain for 3 Years after Termination of Employment with Department	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62750	<b><i>Personnel Folders -- Hourly, Per Diem, Temporary, and Student Employees.</i></b> Comprehensive record of a department's employment of an hourly employee. Includes folders for student hourly, work-study, and temporary employees. May include applications, Notices of Temporary Employment, resumes, letters of reference, commendations/reprimands, job descriptions, copies of payroll forms, etc.	Retain for 3 Years after Termination of Employment with Department	OFM
86 1 35853	<b><i>Personnel Records-Official Copy</i></b> Comprehensive record of all personnel actions affecting a faculty/academic, or classified and professional staff employee. Includes chairs, deans, directors, and temporary faculty (visiting scholars or scientists, clinical faculty, post-doctoral scholars, etc.). Includes information that has a reasonable bearing on the efficient and effective management of the UW and provides a basis for employment and post-employment benefits. May include application materials and references for hired staff, faculty appointment packet, request for appointment or reappointment, stipend appointment, degree verification, honoraria payment records, request for extension of appointment, report of change in status/reappointment, reclassification documentation for staff and professional personnel, Personal Action Forms, promotion and salary adjustment, application for leave of absence, biography, summary of outside professional and public activities, excess compensation payment authorization, birth date card, report of resignation or termination, correspondence related to personnel actions, etc.	Retain for 50 Years after Termination of Employment with Department	OFM
11 08 62756	<b><i>Salary Increase Worksheet.</i></b> Used to calculate salary increases for professional staff. May include income spreadsheets and working papers.	Retain for 3 Years after Salary Increase	OFM
11 08 62757	<b><i>Summaries of Outside Professional and Public Activities.</i></b> Annual report submitted by academic personnel to Dean or Vice President listing professional services offered outside the UW, e.g., lectures, appointments to editorial boards, extended professional service in the community, etc. May also include annual evaluative reports from Deans and Vice Presidents to the President.	Retain for 3 Years after End of Calendar Year	OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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11 08 62762	<b><i>Time Records for Classified &amp; Professional Staff</i></b> Submitted by Classified and Professional Staff to request/report leave and overtime hours.	Retain for 1 Year after Annual Audit	OFM
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93 8 52741	<b><i>Training Records.</i></b> A record of presentation or course material developed ,gathered and used in training. May include reference material, outlines, handouts, notes, evaluations, and actual presentations. May include employee registration and rosters. Includes both required and non-required training. Training may be provided by POD, UW Information Technology, eProcurement, etc.	Retain for 6 Years after End of Calendar Year	OPR
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## GS09 Student Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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86 1 35847	<b><i>Admission Applications -- Applicants Not Accepted, Not Entered, or Application Incomplete</i></b> A record of applicants for UW admission into an undergraduate, graduate or fellowship program who were denied admission; who were accepted but not enter; or who never completed the application process.	Retain for 1 Year after Completion of Admissions Process	OFM
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11 10 62786	<b><i>Advisor's Files.</i></b> Advisor copies of student records used to monitor academic progress. May include grade reports, Advisor's Worksheets (unofficial transcripts), study abroad files, etc.	Retain for 1 Year after Student Inactive or Graduated	OFM
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11 10 62790	<b><i>Award Files.</i></b> Provides a record of awards/special recognition and achievements for a particular	st u d	e n t
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. Does not include scholarships.

Retain for 6 Years after OFM  
Award presented

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36935r2R5	<b><i>Change of College/School and/or Major Forms.</i></b> A record of authorization from the appropriate Dean(s) for a student to change to a different college/school and/or major.	Retain for 2 Years after End of Quarter	OFM
04 11 60792	<b><i>Continuing Education Course Records.</i></b> Provides a record of continuing education courses. May provide proof of attendance for professionals taking course for continuing education credit, financial records, registrant list, credits awarded, advertisements for course, course evaluation, contract with instructor, etc.	Retain for 7 Years after Course Completion	OPR
04 11 60793	<b><i>Continuing Education Credit Course Planning Materials</i></b> Materials generated in the development of a course offered for continuing education credit. May include meeting minutes and agendas; planning teleconferences; emails; memos; correspondence; a copy of the proposal submitted to the credit awarding organization; etc.	Retain for 7 Years after Course No Longer Offered	OPR
86 6 36952	<b><i>Degree Applications.</i></b> Graduation applications received by either the Registrar's Office (for Bachelor's and Professional degrees) or the Graduate School (for Master's and Doctor's degrees). May include compiled lists of students eligible to graduate.	Retain for 1 Year after Date of Graduation/End of Quarter	OFM
11 10 62796	<b><i>Disciplinary Investigations for Exonerated Students.</i></b> A record of investigations into possible violations of the Student Conduct Code (WAC 478-120), for students who were subsequently exonerated. May include case materials and notice of exoneration. In accordance with WAC 478-120-145, disciplinary records of exonerated students shall not be maintained.	Destroy upon complete exoneration	OFM
11 10 62800	<b><i>Exams and Answer Sheets -- Proficiency/Placement &amp; Credit by Exam</i></b> A record of student responses to placement exams administered by college/school or department to determine level of subject proficiency, or to authorize students for possible exemption from taking a course.	Retain for 1 Year after End of Academic Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 10 62808	<b><i>Exams, Papers, Projects and Other Assignments by Students</i></b> A record of answers to examinations, as well as papers, projects and other assignments submitted by students in fulfillment of course or degree requirements. NOTE: This retention period applies to those exams and assignments not retrieved by the student after they are graded.	Retain for 3 Months after End of Quarter	OFM
11 10 62829	<b><i>Field Trip Permission Slips</i></b> A record of signed consent by a student, or legal guardian if the student is a minor, to participate in a field trip.	Retain for 6 Years after Completion of Field Trip	OFM
11 10 62801	<b><i>Grade Appeals and Grievance Files.</i></b> A comprehensive record of a student's appeal of a grade, or other student grievance mediated within the department, school or college.	Retain for 5 Years after End of quarter in which issue is resolved	OFM
11 10 62802	<b><i>Grade Books.</i></b> Listing of student grades for exams, papers, projects, class participation for a particular course. Provides the basis upon which the final grade is assigned.	Retain for 2 Years after End of Quarter	OFM
11 10 62806	<b><i>Major Application -- Undergraduate.</i></b> A record of an applicant's petition for major standing within an academic program.	Retain for 1 Year after Quarter of Denial	OFM
11 10 62810	<b><i>Reference Letters.</i></b> Letters of reference prepared by UW faculty and staff regarding UW students or former UW students with whom they are acquainted.	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 10 62812	<b><i>Resident Physician Evaluations -- Raw Data.</i></b> Comprised of questionnaires used to provide an evaluative record of resident physicians or medical students. Evaluation forms are summarized and merged into Departmental Resident Files or Medical Student Folders.	Retain for 5 Years after Resident/Medical Student has Graduated/Dispute Resolved	OFM
88 12 43458	<b><i>Student Employment Recruitment Files</i></b> Provides a record of prospective employers recruiting for full, part-time, or work study employees at UW sponsored events or using UW sponsored resources including Career Fairs, Husky Employer Partnership Program, Featured Employers Night, virtual Resume Books, etc . May include registration forms, recruiting information, publicity documents, data sheets, lists of interviewees, etc. May also include Job Location and Development Program job listings; maintained as per 34 CFR 675.36, 34 CFR 375.19, and 34 CFR 668.24.	Retain for 6 Years after End of Academic Year	OPR
11 10 62822	<b><i>Student Folders -- Non Matriculated and Visiting Students.</i></b> A record of students who have taken classes at the UW but have not been admitted to a degree program. Transcripts may be used to document completion of course requirements.	Retain for 3 Years after Last Quarter of Activity	OFM
11 10 62819	<b><i>Student Folders.</i></b> A record of the academic history of degree (undergraduate, graduate, professional) and non-degree (certificate, fellowship, professional) students who have taken university courses, including internships/externships. Includes admissions applications and evaluative/progress report documentation.	Retain for 6 Years after Degree Awarded/ Last Activity	OFM
12 06 68269	<b><i>Student Petitions and Waivers</i></b> Provides a record of a petitions and waivers for a change to the status of a student, or for exemption from a fee or requirement. Also includes release from liability.	Retain for 6 Years after Graduation or Last Contact with Student	OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 03 68237	<b><i>Authorization to Apply for a Banquet Permit to Serve Alcohol</i></b> Form which provides a record of University offices who have applied for a permit to serve alcoholic beverages on campus. Includes a description of the event; date; location; and estimated attendance.	Retain for 6 Months after End of Event	OFM
10 11 62254	<b><i>Ballots</i></b> A record of the votes cast to decide on a policy/procedure change or to determine the outcome of a departmental choice, or to select members of a committee or representative for a specific position including the Health and Safety Committee. Does not include ballots relating to Tenure.	Retain for 1 Year after Votes Counted	OFM
12 03 68243	<b><i>Donor Files</i></b> Provides information regarding donor prospects gathered for the purpose of soliciting gifts or funds for the University. Documents the relationship between the college/school/department/office and individual donor, corporate donor, or foundation. May include profiles, donation information, correspondence, annual reports, newspaper clippings, etc.	Retain until Superseded	OFM
12 03 68238	<b><i>Incident Reports.</i></b> Internal departmental reports of facility damage, theft of UW property, etc., when no claim has been filed. NOTE: This is not the official UW Police "Incident Report" or "Accident/Incident Report" (injuries).	Retain for 1 Year after End of Calendar Year	OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 03 68239	<b><i>Litigation Evidence Files.</i></b> Material held for on-going litigation to which an office is a party. Generated as duplicates of materials found in existing record series. May include correspondence, financial records, personnel folders, etc.	Retain for 6 Years after Termination of Litigation	OFM
12 03 68240	<b><i>Litigation Files.</i></b> Material created specifically in response to litigation. May be in the form of background material, evidence files, correspondence, meeting minutes, reports, statistics, etc.	Retain for 10 Years after Termination of Litigation	OFM
89 4 44208r1R5	<b><i>Request for Use of University Facilities.</i></b> A record of requests to use UW facilities for events which are open to the general public, or which involve the co-sponsorship of a non-University organization by a University academic or administrative unit.	Retain for 1 Year after Facility Used	OFM
93-05-52328	<b><i>Volunteer Applications - Accepted</i></b> Provides record of volunteers who donate their time to work at the University.	Retain for 1 Year after Termination of Service	OFM
93-05-52329	<b><i>Volunteer Applications - Not Accepted/Withdrew</i></b> Provides record of individuals denied volunteer status at the University.	Retain for 1 Year after End of Calendar Year	OFM
<b>GS11</b>	<b>Publication Records</b>		

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-09-62099	<b><i>Permission Request Letter</i></b> Provides a record of requests from individuals or publishers who want to use an article from a journal. May include a copy of the text sent to the individual or publisher.	Retain for 6 Years after Approval Granted or Denied	Potentially Archival OPR

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